# PRIMARY HEADSHIP:
# ROLE CHANGE AND DEVELOPMENT

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# ABSTRACT

This dissertation investigates the role of the primary headteacher and offers a model for headteacher development. The research is based on experienced primary headteachers, all working in schools in one of the South Wales Valleys.

There are three qualitative methods used to gather data these are participant observation, interviews and Repertory Grids. The research began with a group of six heads meeting to compare their work with the benchmarks provided by the management standards. The results reveal that the experienced heads in the study are able to meet the requirements of the standards and supply evidence of their managerial work. The heads were able to produce portfolios of evidence and were assessed as competent in management.

This was followed by semi-structured interviews with twelve experienced primary headteachers. The results from the interviews provide evidence that the role of the head is changing and the management focus is increasing. The interviews provided an in-depth, rich picture of the primary head's role.

Finally the Repertory Grids supplied another view of the heads' perceptions of their work and through the job elements and constructs it was possible to explore the head's personal construct system and to analyse similarities between the grids of the twelve heads. The results supplement and help validate by triangulation the results from the group work and the interviews.

The results from the empirical data reveal many changes in the role of the primary head; the most significant of the changes is an increase in management activities. The changes do not support the view that an increase in management leads to a deprofessionalisation; the core values of the primary head remain rooted in their philosophies of education.

The results support the view that there is a new professional emerging, a New Public Management where the head manages but retains the core education sector values and visions.

In order to facilitate the head in coping with the many changes a model for training and development is provided.

## AUTHOR'S DECLARATION

I certify that the work on which this dissertation is based is my own independent work except where acknowledged in the text.

Signature N Jones Date 21-9-97

## *DEDICATION*

*The dissertation is dedicated in memory of my mother*
*who gave me constant support, love and encouragement.*

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# *Chapter 1*

## Introduction

***The Changing Nature Of Education.***

There has been unprecedented change in education in the last decade as a result of the 1988 Education Reform Act (ERA), as a consequence there has been the diminishing role of the Local Education Authority (LEA), increased power of school governors, local financial management of schools and open enrolment. The Education Reform Act (1988) diminished the LEA's administrative control over schools in three main ways :

- Local Management of Schools (LMS) - LEAs are required to delegate responsibilities to school governing bodies e.g. governing bodies have power to appoint, discipline and dismiss staff and are responsible for local financial management. The ERA places the responsibility for education much more clearly on the school and its headteacher and governors.
- More open enrolment - the ERA also emphasises the concept of competition between schools and greater parental choice; market forces and competition have been introduced into education.
- Grant maintained status - there was provision within the ERA for schools, after a ballot of the parents, to opt out of local authority control and opt for grant maintained status.

Ferlie et al. (1996) in assessing the effects of the ERA argue that,

"The 1988 Education Reform Act contains a series of measures which when taken as a whole seek to restructure the power balance and dominant culture of the educational system. The combined effect of grant maintained schools, open enrolment, and local management of schools has been seen as opening up schooling to consumer pressure and a new enterprise culture as headteachers, a new group of bursars, and a minority of active governors engage with the new management agenda" (p.64).

These changes were presented by the government as devolving power and reducing bureaucracy yet were accompanied by an increase in central government control through

such initiatives as the National Curriculum, testing, appraisal, and league tables. A major way in which education has changed is a greater emphasis on accountability. Schools have to become more aware of strategic organisational development through the implementation of more formal planning process and the adoption of managerial techniques and processes to achieve this.

The Education Service has undergone since 1988 a lengthy period of change driven by government initiatives; there is a shift to a quasi-market through the introduction of such concepts as competition and consumer choice. According to Murgatroyd and Morgan (1992 :1) "the underlying dynamic is that schooling is shifting from a public service driven by professionals towards a market-driven service, fuelled by purchasers and customers". There is an increased use of market-oriented metaphors where pupils are referred to as clients, teachers as deliverers and headteachers as managers. Hartley (1991) asserts that this was "part of a deliberate drive to change the mindset of those in public service while at the same time introducing the psychology of the market mechanism to control public finances" (p.81). The government's espoused rationale for the changes was to introduce greater efficiency and to improve standards.

In undertaking new tasks after LMS, heads were urged to adopt a more systematic and rational approach to resource allocation, planning and decision making in order to maximise efficiency and effectiveness. This rational view is reflected in the language of the publications produced by the then Department of Education and Science (DES); for example the DES (1988) emphasises the need for schools to produce management plans by which managers of schools can improve the ways in which they exercise their responsibilities. The rational approach is evident in the Coopers and Lybrand report on LMS (1988) and in their good practice guide for schools (DFE, 1993). Smyth (1993 ) summarises "The flurry of politicization of education in the decade of the 1980s has not proved a flash in the pan, and seems to be continuing in the 1990s, with closer scrutiny of the role and efficiency of the bureaucracy, of school management, standards and

accountability mechanisms" (p.83). The 1988 Education Act has been supported by the 1992 Schools Act and the 1993 and 1994 Education Acts and the change process continues.

There is little doubt that these changes in education are causing profound shifts in the nature of the headteacher's role. There are no precise, standardised job descriptions for heads; in the conditions of service for headteachers (DFE, 1994) it is stated that the headteacher "shall be responsible for the internal organisation, management and the control of the school". The TTA (1994) defines the duties of a head as : "to determine the overall purpose of the school; to determine planning, resource allocation and strategic management; to develop, implement, monitor and evaluate the curriculum, quality and standards and pupil support; to manage personnel; to be responsible for administration, financial management and the premises; to develop relations with the community and to be accountable to the governing body". The duties of the head requires a range of competences and in particular management competences.

The teacher progressing to headteacher will need a different body of knowledge and skills now in the new role than he or she would have needed ten years ago. It could be argued that the challenges to the headteacher in the 1990s require managerial knowledge and managerial skills. There is a duality of roles for the head as both a leading educational professional and also as a manager. This research will analyse how professionals - primary headteachers adapt to management and an investigation will be undertaken of their development needs. This research is necessary as much of the work that has been undertaken on the role of the primary head is now out of date as the focus of the earlier research was on the work of the head prior to the 1988 and 1992 Education Acts.

At the time that the changes were occurring in education so there were massive change in the public sector in general. Public sector services such as health, education, housing and community care are being restructured in accordance with the principles of what has

been termed 'new public management'. Contemporaneously the Government were motivated to develop specific criteria, benchmarks for managers to be assessed against, to identify management standards which specified the performance criteria of managers which would be applicable to any management job in any sector of employment.

The Management Charter Initiative (MCI) was set up in response to a number of expressed concerns about the lack of suitability and sufficiency of management training in the UK (National Economic Development Office 1987, British Institute of Management 1987). The MCI was created in 1988 as an employer led organisation supported by the British Institute of Management, the CBI and the Government . The MCI mission statement is "to improve the performance of UK organisations by improving the quality of UK managers". To achieve this mission the objective is "to improve the quality and quantity of management education and development, making it more relevant and accessible". In 1989, the MCI was appointed as the Lead Industry Body for Management and Supervision by the Government. It was tasked with identifying good practices in management, distilling this research into the publication of national standards of management performance. Functional analysis, a relatively new method of analysing work performance, was used to determine the activities performed by managers. The management standards were developed by examining the practice of managers from both large and small organisations in the public, private and voluntary sectors; (but not specifically from the education sector). A number of qualitative techniques were used to see what the manager's job entailed, including interviews, workshops and written accounts of senior managers' experience. In 1990, the MCI published occupational standards or competences for managers in the UK (MCI 1990).

To date MCI have published four sets of management standards : supervisory (NVQ 3), first line manager (NVQ 4), middle manager (NVQ 5) and completed the Management Standards framework with the publication of the Senior Management Standards in March 1995. There has been a growth of competence based approaches to management development in many organisations but very little research has been undertaken in

evaluating competence based management development in schools. An evaluation of the relevance of the middle management standards (NVQ 5) to the work of headteachers in primary schools will form part of this research.

***Rationale for the Study***

The world of management education and development is increasingly pluralistic and diverse. Managers and their organisations need to select the approach or combination of approaches which most effectively meets their particular needs. The competence approach is one of the major educational reforms of our time and as Everard (1992) emphasises "competency is a concept whose time has come, it is not a passing fad". Management is complex and multifaceted and management education must take account of this; managers should be equipped with competences, meta-competences and theoretical understanding. Until an evaluation of the costs, benefits and usefulness of the competence approach is carried out, any judgements made are based on little or no empirical evidence. In the University of Glamorgan we have been involved in competence management development from the outset and over 300 managers are currently pursuing the competence programmes for first line and middle management. From this experience it is appropriate and timely that an evaluation is undertaken of the applicability of the middle management standards to primary headteachers and to explore the changing role of the primary head. Southworth (1995) highlighted the fact that little is known about primary heads, "Little research has been conducted into primary headship, in particular few investigations have explored what heads think and feel about their work" (pi). This research will explore these new areas of the heads' work, will be breaking new ground and will add to the sparse literature on management competence in education. The research will help inform practice and possibly policy on headteacher training and development.

There is a growing literature on management competence some of which has focused on school management (Earley 1993, Eraut 1993, Ouston 1993). Given the large number of primary heads, it is surprising there is so little written on the practice of educational

management in the primary sector. This research will build on this sparse literature on management in primary schools.

The research will be important for both senior education managers and academics in business schools in higher education, by providing an analysis of the development needs of headteachers, and undertaking an evaluation of the standards for heads thus enabling more informed decision making on competence issues. This research is important at a number of levels; it is important at a general strategic level, to help inform the national debate on management competences and headteacher qualifications, at a college operational level to help curriculum development, teaching and learning programmes for primary heads, and at an individual level in order that management development may become more focused, valid and meaningful for primary heads.

***Aim and Objectives***

Against the background of major change in the public sector in general and in education in particular the aim and objectives of the research are as follows:

Aim:

The aim of this research is to investigate the role of the headteacher in primary schools and to identify their development needs.

Objectives:

a) To focus critically on the literature with particular reference to:

- the changing role of primary headteachers.
- the use of competence models in management development for primary heads.

The analysis will build on this literature.

b) To ascertain the management development needs of primary heads by comparing their managerial knowledge and skills against the competences detailed in the management standards produced by the Management Charter Initiative (MCI) and from an analysis of the interviews and Repertory Grids.

c) To assess the appropriateness of the performance criteria detailed in the management standards as specified by MCI for headteachers by undertaking in-depth qualitative research with a group of six heads.

d) To produce a grounded picture of primary headship in the mid 1990s by in-depth interviews and Repertory Grids with twelve experienced primary heads.

***The End Product***

It is anticipated that the results from this research will be used to:

- Inform MCI, the University of Glamorgan and Mid Glamorgan Training and Enterprise Council (TEC) of the suitability of the management standards for primary headteacher development.
- Provide a commentary detailing how the management competences may be applied to the work of the primary head. This commentary could be used alongside the management standards to help heads to meet the requirements of the management standards.
- Develop management programmes for primary heads in my University.
- Add to the sparse literature on the role of the primary head in the 1990s.
- Clarify the changing role of the primary head in the light of recent government education policies.

***Research Methods***

The methodology of this research is qualitative and the three principal methods of data collection employed are participative observation, qualitative interviews and Repertory Grid interviews:

- Participant observation - this entailed working with a group of six headteachers in order to analyse the appropriateness of the management competences in general and the NVQ level 5 in management in particular. The investigator had a dual role in this group, firstly as a researcher and secondly as a management developer.

- Interviews - there were in-depth, semi structured interviews with the core group of six primary headteachers, plus a further six in-depth interviews with other heads from the same socio-economic and geographical area.
- Repertory Grid Interviews were also undertaken on the same sample of twelve heads.

This methodological approach enables the analysis of retrospective change and real time analysis of change. The design choice was to conduct intensive analysis on a few heads rather than a more superficial analysis on a large number of heads.

The research is timely as there has been no major study of primary headship in Wales. Southworth (1995) provided insights into primary headship in England and comments on the lack of funded research in this area. None of the main funding bodies for research in education (the Department for Education, the ESRC and the Leverhulme Trust) has supported any significant studies of primary headship, although there have in the last thirteen years been three major studies of secondary headship (Morgan et al. 1983, Hall et al. 1986 and Weindling and Earley 1987). The small scale research that has been undertaken are often time studies, commenting on how heads spend their time or they are self analyses of what it is like to be a head. These will be discussed in more detail in the review of literature chapter.

Unfortunately much of the important work on primary headship was undertaken prior to 1988 and is not very relevant to the work of the head in the 1990s. Reynolds and Parker (1992) conclude :
"It would be very surprising if the effective headteacher of the 1990s bears more than a very superficial relationship with the effective headteacher as we now describe him or her" (p.178).

Laws and Dennison (1990) comment on the very limited research base for promoting the development of headteachers. It is important to analyse the effects of the many changes

on the head's role and as Southworth (1995, pii) stresses, "As schools manage major organisational and curricula changes the tacit assumption that heads can continue to work as they have in the past needs to be tested". This research tests the assumption.

***Dissertation Plan***

Following this initial introductory chapter, chapter two reviews the relevant literature underpinning this research. The review focuses on literature from education, and in particular on primary headship and education management and from management development and in particular on management competence.

Chapter three provides a justification for the methodology and a rationale for the particular methods of data collection that have been used.

Chapter four examines the appropriateness of the management standards to the work of primary heads. The analysis is based on observing and working with a group of heads over a period of fourteen months.

Chapter five develops the analysis of the work of the primary head through semi-structured interviews with twelve primary heads.

Chapter six focuses in more depth on job elements and the underlying constructs of the heads using Repertory Grid techniques.

Chapter seven seeks to draw the results from the empirical data in chapters four, five and six and offers a picture of primary headship, together with suggestions for the future training and development of primary heads.

# *Chapter 2*

## Review of the Literature

Chapter one introduced the context in which strategic changes in education have been made as a result of a number of major, top-down changes emanating from the Education Acts of 1988, 1992 and 1994. This chapter provides a critical review of the literature analysing the changing role of the primary headteacher, paying particular attention to research published since 1988. The first section reviews the literature concerned with analysing aspects of the role of the primary head. The second section explores the duality of the role of the head, as a leading professional and the role of the head as a manager or chief executive. The importance of management for education will be debated and a review will be made of the long standing debate within management studies between those who argue that management roles and skills are generic across organisations, for example the general management model as put forward by MCI, and by those who advocate that management roles and skills should be contextualised, as they are specific either to an individual manager's job (Stewart, 1975) or to a specific sector (Stewart and Walsh, 1992).

***Aspects of the Headteacher's Role:***

There have been a number of attempts to examine the role of the primary headteacher from a variety of different perspectives. One approach has been to analyse how heads spend their time, to examine what they do, for example Wolcott (1973), O'Dempsey (1976) and Willis (1980). Early studies in the 1970s and 1980s developed out of research on managers in other sectors. The work of Carlson (1951) was the first empirical study analysing what managers actually do; he concluded that managerial work is typified by frequent interruptions, fragmentary activities and the main purpose was information acquisition and communication. Stewart (1967) studied 160 managers and reinforced Carlson's results about the nature of managers' work. The research was extended to

headteachers and there were similar results; the fragmentation in the work of the manager was also found in the work of the head. Webb and Lyons (1982) compared the work undertaken by headteachers with an analysis of the role of top managers in other organisations. They found remarkable similarities, namely that :

1. Most managers work at a high intensity of tasks.
2. They give high priority to live, current needs rather than future needs.
3. The time span of most activities varies between two and twenty minutes.
4. They undertake small menial jobs when subordinates are not available.

One of the most widely quoted research on what managers do was undertaken by Mintzberg (1973) who emphasised the variety, fragmentation and rapidity of managerial work and frequent interruptions. The importance of Mintzberg's research is that he identified ten roles which he argues are the sets of behaviours for managers. He divides these into three key roles each with three or four elements, these are :

- Interpersonal - leader, figurehead and liaison.
- Informational - monitor, disseminator and spokesperson.
- Decisional - entrepreneurial, disturbance handler, negotiator and resource allocation.

There has been a great deal of research in the USA testing Mintzberg's managerial roles including the application of these roles to the role of the principal (headteacher). Empirical work on principals of primary schools in the USA reinforces the results of Mintzberg (1973) and suggests that most of the activities of principals is characterised by great variety, short duration of actions and fragmentation. Peterson (1977) studied two principals and found that 85% of their time was spent on tasks of less than nine minutes, and interactions taking more than two minutes were nearly always interrupted. Kmetz and Willower (1982) studied the work activities of five school principals and concluded that "Events ordinarily controlled the principals rather than the other way around" (p.78). It is interesting to note a dominant feature of the research in the USA

and Australia on primary headship is the conflict between the leading professional and the manager, "Some principals like to think of themselves as teachers of teachers, others as applied philosophers, managers" (Blumberg and Greenfield, 1980 :15). They continue by stressing "Expecting school principals to be both strong instructional leaders and effective school managers poses a dilemma which shows no sign of abating" (p.150).

Laws and Dennison (1990) complain that by comparison with North America and Australia, research on primary headship in Britain is more limited in terms of the quality of the research designs and failure to produce data of a comparable worth. Southworth (1995, p.i) supports this view "Little research has been conducted into primary headship; in particular, few investigations have explored what heads think and feel about their work". In the 1980s in Britain there was much written on what primary heads ought to do rather than on what they actually did. In addition Laws and Dennison (1990) highlight the methodological problem of categorisation of the observed activity. The wide range of the activity categorisation makes comparisons between different research findings very difficult. A head's discussion with a curriculum co-ordinator could be analysed by one researcher as a curriculum item, by another as an aspect of administration and by another as part of the head's management of interpersonal relationships. When one examines the categories of classification used in the research on how managers and heads spend their time there are examples of the same activities being classified in very different ways and as a result there are some misleading and contradictory results. Depending on the classification system used, it is possible to support either view; the headteacher as leading professional or as manager.

Laws and Dennison (1991) in an analysis of how primary heads spend their time conclude that "The demands upon their time are great. These demands are likely to rise still further, following the ERA and related developments. Already they spend much of their time on activities which can be classified as chief executive. Their professional leadership actions which occupy less than half their working week, could assume still lower significance" (p.57).

There is no doubt that there have been massive changes imposed on schools and in particular on headteachers in the last nine years; the next section examines some of the changes occurring in the role of the primary head and analyses the implication of the changes.

***The Changing Role of the Primary Head***

In the last nine years since the ERA was implemented Harris and Clark (1989), Hill (1989), Jones (1990), Southworth (1990), Jones and Hayes (1991), Hellawell (1991), Mortimore and Mortimore (1991), and Hayes (1993), have all researched into aspects of the changing role of the primary head noting the increase in managerial activities. All of the research listed above was undertaken during the early stages of the implementation of ERA which raises the question of whether the management aspects continue to increase as part of a primary head's work. There have been few major studies of primary headship in the mid 1990s other than that of Southworth (1994, 1995) and Webb (1994). Southworth (1995) emphasises the paucity of research into primary headship in the 1990s, "The only other published study into the changing role of the head in the primary school is Hellawell's (1991).....which was based upon data collected at an early point in the post-ERA period" (p.7-8).

In analysing the many changes since 1988, one of the most significant changes noted was the introduction of LMS (Boydell, 1990; Southworth, 1995). There is some evidence of a negative response by the heads to LMS as a result of the increase in administration. Webb (1994) highlights the "greatly increased burden of routine administration associated with LMS" (p.25).The collegial and collaborative character typical of many primary schools could be at risk as a result of heads having to implement redundancies in their schools. Southworth (1995) noted the potential for an increase in personnel type problems as heads with governors decide on such issues as redundancy:

"Heads are frequently part of the staff team, being player managers rather than remote and distant administrators. Yet the introduction of difficult personnel decisions might make the school the centre of more inter-adult struggles and disputes than previously" (p.43).

Conversely a number of researchers note more positive factors as a result of the introduction of LMS. There is consistent evidence that heads like the increased autonomy in managing their schools. Mortimore and Mortimore (1991) commented that "On the whole heads are positive about the increased autonomy and flexibility LMS provides despite the accompanying headaches" (p.127). Webb (1994) noted that the heads "Preferred the greater control over their schools that LMS had given them" (p.24). Southworth (1995) concludes that "Although it is a mixed blessing there is now a strong body of evidence to show that primary heads would not want to return to a time when they did not manage the schools' financial affairs" (p.7).

The increase in control as a result of LMS was counter balanced by a decrease in control of the curriculum as a result of the introduction of the National Curriculum (NC). Prior to 1988 many studies comment on the heads' perceptions of being in control of the curriculum (Alexander, 1984; Southworth, 1987). As a result of the introduction of the NC several researchers report heads as feeling less confident of their own teaching. Webb (1994) notes that the impact of the NC had "reduced their ability to provide curriculum leadership in terms of making recommendations and leading by example" (p.30). Southworth (1995) found in his research sample that heads disliked the way the NC was introduced and subsequently revised without warning: "All the heads shared the view that the process of change should have been better managed by central government and its agencies" (p.2). Yet despite the apparent loss of control of the curriculum many heads in Southworth's (1995) research commented on the fact that NC reforms had helped them move their schools forward. Similarly Webb (1994) found that heads had used the implementation of the NC to further the development of the school. "Several headteachers spoke of how they had used the NC as a lever to get teachers who had got

somewhat set in their ways to start to move and to introduce changes in the curriculum that they felt were long overdue" (Webb, 1994 p.17).

There is also recent evidence that the role of the head as social worker has emerged (Webb and Vulliamy, 1996). Headteachers were not only counselling the children but also were having to deal with parents' problems. Webb and Vulliamy (1996) emphasise that "Very few of them have any training for such a role, nor does the existence of this role which can prove extremely time consuming appear to be recognised either in the current headteachers management manuals or in OFSTED advice about their expectations for schools and headteachers" (p.23).

The increased powers of governors enlarge the head's work as the heads were attending more formal meetings and generally spending more time working with the governors. Southworth (1995) notes that working with the governors led to a doubling of the head's efforts. This is supported by Webb's research (1994) which reported that heads were developing partnerships with governors which they found to be time consuming and adding to the head's work. Grace (1995) emphasises that "Those headteachers who are confident in their advocacy skills will seek to manage their school governors so that as much operative leadership as possible remains in their hands. Their ability to do this in practice will not depend simply upon their advocacy skill but also upon the social and political constitution of their governing body" (p.23). Headteachers now have to report their governing bodies and some research data indicates an uneasy relationship between heads and their governing body (Evetts, 1994). It is clear that some headteachers find the help and support of the governors and in particular from the chair to be invaluable but others felt threatened. The main problems associated with governing bodies is that the majority of school governors are unpaid volunteers, with little or no time to prepare for meetings or to undertake training and very few members have any comparable experience of sitting on boards elsewhere (Shearn et al., 1995). Parent and teacher representatives do not necessarily have management experience and are therefore not

well placed to offer expert advice to the head. Confusion about the role of the governing body adds to the headteachers' problems.

Headteachers' relationships with their Local Education Authorities (LEA) have also undergone change, with the LEA moving from a direct line management role to an enabling role. This devolution of responsibility to schools has been accompanied by a major shift of power away from the LEA to the school (Levacic, 1992; Ranson, 1993). In this process the headteacher has gained an increase in power (Evetts, 1994) and a reduction in support.

There is some evidence coming forward to suggest that not all heads are coping with the changes; Cooper and Kelly (1993) undertook a national survey of ten per cent of heads in post during 1987-88. Cooper and Kelly's results show that job dissatisfaction was greatest in the primary sector and heads most at risk of job dissatisfaction were those who had been longer in post. Mental health scores also rose significantly indicating a high level of stress in the primary sector. Similarly Read (1988) concurs from the results of a survey that stress levels in headteachers are unacceptably high and were particularly high in primary headteachers.

Cooper and Kelly (1993) conclude from their research:

"These findings suggest that more attention be paid to the precarious role of the primary headteacher and what can be done to help him/her cope with the pressures in a changing educational environment". They continue by suggesting that "the profession needs to seriously consider a number of training options in the area of time management and interpersonal skill development" (p.141).

The School Management Task Force outlined the many new demands on schools in the preface to their 1990 report and went on to expand on the disillusionment and exhaustion that would follow if policy makers did not consider the impact of so many changes on

school management. Esp (1993) warns "It is clear that natural flair and panache will be insufficient to create and maintain a high quality of management in schools" (p.14). He continues by highlighting the weakening of the role of the LEA and argues that the increase in the number of self-managed schools will mean that these schools will require more than ever before 'competent managers'. "Schools will be providing learning opportunities without access to a unified, comprehensive support structure". Fidler (1997) stresses the importance of strategic management and strategic planning, "Strategic planning offers schools the opportunity to seize the initiative in their own development" (p.102). Esp compares the school to the concept of the Learning Company, as the school will need to be an "organisation which facilitates the learning of all its members and continuously transforms itself " (Pedler, Burgoyne and Boydell, 1989).

Alexander (1992) noted an 'intimate connection' between the heads' philosophies and their views of their role and between these and school management. He identified four prominent ways heads perceived their roles :

1. 'Head as boss' - controlling firmly the character and direction of the school and its staff.
2. 'Head as managing director' - this style is more bureaucratic than the boss and is involved in instituting formal procedures, roles and responsibilities.
3. 'Head as chief teacher' - believing and demonstrating that the teaching function of a school is pre-eminent and the head plays a leading role in teaching.
4. 'Head as team leader' - less social distance between the head and the staff, all seen as part of a team, a collective.

In numbers one and two the chief executive / manager role for the head is highlighted, whereas in three and four the professional approach is adopted.

Other researchers have examined the head's role as education leader e.g. Thorpe (1992). In addition a number of heads have written from their own perspective e.g. Stone (1989), and Kirkpaprick (1990); other studies have been based on the perception of the head's role from parents', governors', and teachers' perspectives e.g. Blease and Lever (1992). More recently Hall (1996) undertook a two year qualitative study of six women heads. Hall highlights the transformation of power when it is held by women and she details the obstacles the women heads face in maintaining collaborative relationships when they are in a position of power. A picture is painted of women heads enacting strong leadership within a collaborative framework and Hall questions the view that has been put forward that management is a masculine concept, as in her study all the heads were seen as managing their schools effectively. All the studies especially since 1988 stress the increased managerial aspects of the work of the headteacher.

Southworth (1995) concludes from his sample of primary heads that "Headship in the mid 1990s was perceived by these practitioners to have changed since the 1980s. The heads believed they were more management oriented than they were formerly. Most importantly, they feel that they are the head of the organisation and only intermittently a teacher and professional leader. The balance between chief executive and leading professional roles has shifted" (p.44). Research into the changing role of the secondary head suggests that the impact of ERA has been to create a "new headteacher" (Evetts, 1994) with more hierarchical forms of management style creating a gulf between headteachers and their staff. Heads of secondary schools have become corporate managers and educational leadership has been drastically reduced. Webb and Vulliamy (1996) suggest that "similar changing patterns in headteachers' work are occurring in primary schools" (p.313). Webb and Vulliamy (1996) also highlight the tension between management and curriculum leadership.

It has long been recognised that there are two aspects to the primary headteacher's role (Hughes, 1973; Coulson, 1985) that of the leading professional, the head teacher and

exemplar of professional values and secondly there is the chief executive / manager role. Management and profession are terms of wide application and have a variety of interpretations; both concepts have generated a large social science literature some of which will be analysed next in this chapter.

***The Leading Professional***

In order to debate the changing boundaries between managers and professionals, one needs to consider the background to the concept of professionalism. The characteristics of professional work have been studied by sociologists from Flexner (1915). There have been many characteristics identified; Goode (1969) for example highlighted the characteristics found most regularly in definitions of a profession :

1. Practice is founded upon a base of theoretical, esoteric knowledge.
2. The acquisition of knowledge requires a long period of education and socialisation.
3. Practitioners are motivated by an ideal of altruistic service.
4. Careful control is exercised over recruitment, training, certification and standards of practice.
5. The colleague group is well organised and has disciplinary powers to enforce a code of ethical practice.

There has been many traits which have been included in various definitions of the term profession but two themes are central in most definitions of profession : knowledge and autonomy. Hoyle (1986) argues "Professional practice is predicated on the notion of qualified persons having the freedom to exercise their knowledge and skill in the interests of their clients in situations where routine solutions are inapplicable" (p.81).

Thus the traditional view of a profession emphasises the centrality of professional knowledge. Larson (1977) describes the professional as belonging to a "privileged

society of knowers". The skills that characterise a profession flow from and are supported by a fund of knowledge that has been organised into an internally consistent system called a body of theory. This emphasis on theory and knowledge characterises a profession as compared with craft or routine occupations which entail the exercise of skills which are underpinned by practical application rather than academic theory. Hoyle summarises this functional approach; "Although knowledge gained through experience is important, this recipe type knowledge is insufficient to meet professional demands, and the practitioner has to draw on a body of systematic knowledge. The acquisition of this body of knowledge and the development of specific skills requires a lengthy period of higher education" (p.9).

Universities traditionally have provided the knowledge base and it has been usual for aspiring professions to find incorporation within the universities for their training programmes e.g. doctors, vets, dentists and teachers all base their professional education in universities. Members of a profession relate to each other on a collegial basis. In education most primary heads are promoted straight from the classroom; the title of headteacher is very significant and effectively the promotion of the teacher to headteacher approves the individual's professional values. Southworth (1988) asserts, "Moreover on becoming a head the person may feel that his/her teaching is of such an order that it is worthy of emulation by others" (p.47). The head is not just the leader of the school but also the leading exemplar for the school in terms of professional practice.

Our understanding of what constitutes a profession is influenced by history and context. To understand the present situation regarding the professions, one needs to contextualize them in the economic and social changes. Thus during the development of the welfare state there was the rise of professionalism; as the demand for education increased so did the number of teachers increase; as Connolly (1995) succinctly asserts, "The Welfare State was the professional state". According to Le Grand (1990) when the Thatcher government came into power in 1979 the welfare state was the biggest area of non-

market activity in the British economy. The Thatcher government took forward the accountability movement and as far as the teaching profession was concerned, "the aim was to reverse the trend which led in the 1960s to the high point of professional autonomy at the individual and the collective level" (Hoyle and John, 1995 : 9). Thus the reduction of the Welfare State has led to a reduction of the power of many professionals and an emphasis has been placed on management. In education this has led to the head taking on more management activities and performing the role of the chief executive/ manager as opposed to the leading professional.

***The Chief Executive / Manager***

There has been a realisation since the 1960s that headteachers need to take on managerial activities and this has been acknowledged increasingly during the 1980s and 1990s. The Gittens Report (1967) recommended that all new headteachers should receive courses of training to prepare themselves for new responsibilities in management. Similarly the Plowden Report (1967) suggested that headteachers needed help in management and administration. In the 1970s the recognition that headteachers needed management training continued and there were attempts to identify appropriate management functions for headteachers. The DES Primary Survey (1978) promoted the use of managerial activities, team-building, delegation, planning and evaluation. The First School Report (DES, 1982) went further and defined the responsibilities of headteachers; no particular management style was recommended but headteacher effectiveness was related to good interpersonal links, purposefulness and firm control of expenditure. During the late 1970s and 1980s there were an increasing number of publications about primary headship and heads were being encouraged to take on more overt chief executive roles. In his annual report for 1990 the Senior Chief Inspector (SCI, 1990) reported that the management of schools left much to be desired. In only half of the schools in England which were inspected was management considered to be effective.

It is important to clarify at this early stage, the way the term manager is being used throughout the dissertation. There are many definitions of educational management but many are partial, reflecting the bias of the particular author. Bush (1995) complains that "Those which attempt a broader approach are often rather bland" (p.1). Hoyle (1981 : 8), describes his definition of management as downbeat, "Management is a continuous process through which members of an organisation seek to co-ordinate their activities and utilise their resources in order to fulfil the various tasks of the organisation as effectively as possible". The term education leader seems to hold wider acceptance in the literature than does that of education manager. This raises the question as to the differences between leadership and management. Hall (1996) uses the words leading and managing interchangeably, although she is aware of some dissent to this view; "In so doing, I have apparently contributed to what Foster (1989 : 45) has described as the chewing up and swallowing down of the concept of leadership by the needs of modern managerial theory" (p.10). Duignan (1989) argues "The maintenance of a distinction between leadership and management functions at the conceptual and/or practical level is counter-productive to our search for a practical theory of educational leadership ..... What is generally referred to in organisations as management structures, functions and processes are best seen as mechanisms for the expression of leadership" (p.74). Foster (1989) observes that "if leadership cannot be reduced to management, then it must involve something more than management" (p.18).

Grace (1995) differentiates between educational leadership as a phenomenon which is quite distinct from education management and warns that "the study of school leadership runs the risk of being reduced to a branch of education management studies, to a set of technical considerations about the school as a production - function centre, a devolved budget centre, or a value - adding centre" (p.5).

Hall emphasises "As someone whose own principal work activities have been about developing teachers as managers, I would argue that leadership is potentially pervasive within teaching and managing, not exclusive. It is important to recognise that, ideally all

managers are leaders and all leaders are managers so that, by implication, all teachers are also managers and leaders. This recognition..... can then serve to undermine the negative impact of management used as an unquestioning tool for achieving other people's purposes" (p.10).

Throughout the dissertation the term manager will be used to encompass leadership, as like Hall (1996) the author believes that within education, leadership and management though different are inseparable. Duignan (1989) sums this debate up as "Trying to distinguish between management and leadership activities is as pointless as trying to separate means and ends" (p.75). The head has to both manage the school and provide leadership through a vision for the school. Beare et al. (1989) summarises this as : "A mental picture of a preferred future which is shared with all the school community and which shapes the programme for learning and teaching as well as policies, plans and procedures pervading the day to day life of the school" (p.100). The head has to realise the vision by managing the school effectively. In addition there is evidence from research that establishing the culture of the school is important. Deal (1985) stressed that: "In school diverse expectations, political vulnerability and the lack of tangible products make values, beliefs and faith crucial in determining success, the development of a solid culture is even more important than it might be in business" (p.608).

Sergiovanni (1992) identifies five leadership forces in headship, these are:

- technical leadership which is concerned with sound management techniques; including planning, organising, co-ordinating and scheduling;
- human leadership involving harnessing human resources to build morale; encourage growth and creativity, provide support and encourage participatory approaches to decision making;
- educational leadership which involves the use of expert knowledge about education and schooling and meeting the needs of pupils;

- symbolic leadership which focuses the attention of others to matters of importance to the school such as giving tours of the school, visiting classrooms, providing a unified vision for the school;
- cultural leadership which builds a unique strong school culture.

Sergiovanni views these leadership forces in a hierarchical format so that the management aspects, i.e. technical and human forces are important but not sufficient for excellence in headship. By adding educational leadership this adds more but it is only by adding symbolic and cultural leadership that a school attains excellence. Similarly Caldwell and Spinks (1993) highlight the distinguishing features of leadership as vision and gaining commitment from others to that vision. Quinn et al. (1996) uses the term managerial leader which combines both management and leadership. Hall (1996) highlights her opinion, "My own position (following Hodgkinson, 1991) is that leadership is philosophy in action, with management an integral part. The headteachers were simultaneously leaders and managers. They thought managing without leading was unethical; leading without management was irresponsible" (p.10).

Not all researchers share this view, for example Ball (1993) describes how heads are being faced with threats to their autonomy and status and argues that "the more successful they are at coping (with the changes), the more of themselves as professionals, and their experience they must forego" (p.120).

Some writers have challenged the new entrepreneurial approach which the present government advocates for its school managers (Bottery, 1992). It is seen as antipathetic to educational values and an attempt to replace them with the values of the market place which encourages technicist, rational solutions to human problems.

"What occurs of course, is a cultural shift away from education to management and other forms of entrepreneurialism. We lose sight of what it is that is being managed, and what

we have is a replacement of a professional model of education with what is a largely discredited industrial management model" (Smyth 1993 : 7).

Southworth (1995) summaries the problems experienced by primary heads as a result of imposed changes "The heads felt less ownership of the changes, although they were expected to manage all of them. And the key term in all of this is manage. Despite the increasing use of the term management over the previous fifteen years, since 1988 management has become a seemingly unquestioned part of the role of headteachers" (p.31).

Hughes (1988) proposes a dual role model which takes account of the situation that arises when the chief executive of a professionally staffed organisation is also considered to be its leading professional. An essential part of Hughes' model is the close interdependency of the two concepts, professional and managerial.

*The Dual Role Model (Hughes, 1988, p. 15)*

| **Leading Professional sub-role** | **Chief Executive sub-role** |
|---|---|
| **Internal** | **Internal** |
| *Professional guidance of staff*<br>*Personal teaching*<br>*Counselling pupils and parents* | *Allocative and co-ordinating functions* |
| **External** | **External** |
| *Acting as spokesperson for school matters or educational matters*<br>*Involvement in external professional activities* | *Relationship with governing body and the L.E.A.* |

There is a danger of regarding the two sub-roles as separate and mutually exclusive, and as a result the head as the leading professional can be left to the educational theorists whereas the head as executive becomes a management issue. This separation of roles is

artificial and potentially dangerous as heads identify with one part of their role and as a result choose to ignore the other part. Hughes (1976, p.58) describes how professional and executive considerations reinforce each other as complementary aspects of the head's role.

Handy (1984) stresses that " the management of these organisations (schools) is a key activity, not a mere service function" (p.13). Handy goes on to predict that "management will become a more prominent feature of school life rather than a poor relation to teaching. It will therefore be taken more seriously and treated more professionally, and may be the preferred career path for many" (p.126).

In a similar vein, West (1989) points out, "Heads may well find themselves engaging in entrepreneurial activities and operating more and more across the boundary of their schools than is currently the case. The widening of their chief executive role and subsequent displacement from the core act of teaching will be difficult for some headteachers. It may be that in the nineties we can no longer justify headteachers as surrogate teachers, for such an action may well be considered profligate in a system that construes headteachers as providers of strategic vision, as constructors of relevant networks, as entrepreneurs in a market economy" (p.209).

There is no doubt that for heads the scope of their duties and responsibilities has changed fundamentally. According to Cave and McKeown (1993) "The concept of the head as manager is firmly in place, and to provide assistance and guidance in this area a new growth industry has emerged; management development for senior staff in schools" (p.127). The burning question therefore is not whether the head's role contains in large measures management activities but rather the extent to which the study of management can lead to improved practice in schools. This question has received attention from educational researchers for the last twenty years. Hill (1989) concludes from his research of American school effectiveness and from UK studies such as the work of Mortimore et al. (1988) that "Effective heads differ from less effective heads in the way they manage

their schools" (pii). While school improvement is not based solely on the head's management, there is agreement that this appears to be a significant factor.

There is however less agreement regarding the nature of school management. The early debate tended to be polarised into the similar and the dissimilar arguments.

There is a long standing debate within management studies between those who argue that management roles and skills are generic across organisational settings (the general management model) and the key roles of managing are the same in any organisational context. There are writers who see management approaches as being equally relevant for all organisations regardless of differences in context (Kanter, 1990; Peters, 1992). This approach supports the view that general management theories and management skills can have direct application to education; this will be explored further. The dissimilar position argues that management is fragmented and intuitive (Kotter, 1982; Mintzberg, 1973; Pettigrew, 1987 and McCall, 1994) and variables in the wider context are of critical importance. It is argued that there is no one generic model of management identifiable within the private sector, yet the government reforms assumes an oversimplified model of management from the private sector that can be transferred to education. It is stressed that education is different and particular and as a result management theories are largely irrelevant for the headteacher. This is a strongly education based view which highlights the complex purposes of education, the different culture of schools and the headteacher is seen as the leading professional. In the last nine years this debate has increased and the manager versus the leading professional has become a particular focus for attention from research.

Most heads would have been selected on the basis that they would become the leading professional, the head-teacher; has this expectation changed? Handy (1984) claims that there is "the common feeling among heads that one is a teacher first and always, and a manager by necessity". To heads newly appointed in the 1990s the purpose - (education) is familiar, the means - (management) is less so. A new range of management skills,

theories and knowledge needs to be established for heads to operate a high quality of education and meet the needs of changing Government policies on education. Craig (1989) goes further by stating that "The headteacher of the 1990s will essentially need to be a manager. The term headteacher in the 1990s will become a misnomer, the task of headship is management" (p.8). The changing roles of heads have implications for their training and development and have implications for the criteria used in headteacher selection and also the methods of selection.

As a result of all these changes, the role of the teachers and the headteacher is continuing to change. Control over the teaching profession is undoubtedly becoming more overt and heads have had to take on more managerial activities. This changing role brings with it changing development needs. The teacher progressing to headteacher will need a different body of knowledge and skills now in the new role than he or she would have needed ten years ago. The challenges to the headteacher in the 1990s require managerial knowledge and managerial skills and there is a substantial learning task for the head in management theory and practice. It has been argued ( Ree, 1970) that a successful head need not have been a great scholar, nor even a good teacher, but must be a manager who can organise a wide variety of relationships to a diversity of groups with skill and sensitivity. Alexander (1984) recognised that a headteacher's skills as a teacher might have been instrumental in his or her appointment as a head and questions whether there is a direct relationship between being a good teacher and subsequently a good head.

***The New Professionalism***

Major reforms have already taken place in initial teacher education where more emphasis is being placed on teacher competence and more practice is taking place in the schools. Similar reforms are being proposed for headteacher development; these proposals are based on a competence-type approach which replicate changes in initial teacher training where the emphasis is on work-based outcomes. Hargreaves (1994) argues that there is a shift in the values and practices of teachers and a new professionalism is emerging. He

suggests that "At the heart of the philosophy of the new professionalism is a sympathetic relation between professional and institutional development" (p.423). The government reforms are affecting the practices of heads and as Hargreaves (1994) highlights, the change "has often been interpreted as a deprofessionalisation and deskilling of teachers" (p.424) but Hargreaves challenges this view and proposes that a new professionalism is emerging. The new professionalism is based on a 'post-technocratic model' of teacher education.

The change in education and development associated with the new professionalism is not only applicable to teachers but to the range of professions. Bines (1992) characterises professional education as falling into three distinct categories :

1. Pre-technocratic model - This is the on-the-job training. the approach is typified by the phrase 'sitting next to Nellie'. This model is normally used for initial training.
2. Technocratic model - This is currently the preferred and dominant model for the professions. It is usually based in universities and is characterised by three main parts : the transmission of knowledge; the application of this knowledge to practice; and supervised practice. Control is in the hands of the universities and courses are prepared for experienced professionals by lecturers and are based on the interests of the lecturer rather than on the problems of the professional practice.
3. Post-technocratic model - This model is not as yet fully developed; it emphasises professional competences, which are developed through experience and reflection upon that experience. Practice is in the workplace with less time spent on learning academic knowledge; the only knowledge required is that which underpins the competences.

Currently initial teacher education is being developed into a post-technocratic model by the then Conservative government, who were being influenced according to Hargreaves (1994) by three groups, the right wing, such as Lawlor (1990) and O'Hear (1988); secondly by practising teachers who under rapid change are evolving a school-based culture of professional development; and thirdly by some pioneers in the university sector in particular in the Universities of Sussex and Oxford e.g. Benton (1990) and McIntyre (1990). The Labour Government has continued with this model of Initial Teacher Training. The next stage is the development of headteacher development into a post-technocratic model addressing the issue of headteacher competences. At present however Technocratic model applies where heads and prospective heads undertake education management short courses or longer programmes of study. The agenda is provided by the provider. More typically the pre-technocratic model applies where headteachers are developed on a pre-technocratic model and even then one is unable to 'sit next to Nellie' but would need to have learned from a former head. This is fraught with problems as there is unlikely to have been any formalised ideas of career planning for the deputy head and even if there were the role of today's headteacher is different from headship prior to 1988.

The Teacher Training Agency (TTA) consulted on proposals for the development of a new national qualification for headship between February and April 1996; the results of the consultation was "universal support for the need to set national standards". The TTA produced draft standards which " were seen as reflecting the reality and expectations of headship" (p.4). The key features identified for aspiring headteachers were:

- rooted in school improvement and drawn on the best management practice inside and outside education;
- based on a set of agreed national standards for new headteachers;
- signals readiness for headship - headteachers should have the necessary foundation of school leadership and management knowledge, understanding, skills and abilities to perform successfully against the national standards;
- is rigorous;

- provides a focus for aspiring headteachers' continued professional development;
- provides a baseline from which the newly appointed headteachers can continue to develop their leadership and management abilities through Headlamp (p.17);

*The draft standards are in four parts :*

- Core purpose of headship.
- Key areas for development and assessment:
  1. strategic direction and development of the school.
  2. learning and teaching in the school.
  3. people and relationships
  4. human and material resources and their development and deployment.
  5. accountability for the efficiency and effectiveness of the school.
- Leadership and management skills and abilities.
- Knowledge and understanding.

The National Professional Qualification for Headship (NPQH) has been piloted since January 1997 and it is proposed that this will be an obligatory qualification for headship in the future. NPHQ was introduced by the Conservative Government and continues to be supported by the Labour Government. In the White Paper (1997) this qualification is highlighted.

"Legislation to be introduced later in 1997 will provide that in future, all those appointed to school headship for the first time should hold a professional headship qualification. This will demonstrate that they have the necessary abilities to lead and motivate pupils and to manage a school" (p38).

The response of teacher education generally has been critical of the post-technocratic form of initial teacher training; there is a defence of the status quo. Barrett et al. (1992)

conducted a survey of post-graduate initial teacher training course leaders, asking them to describe their agreed model of training. Three per cent saw it as developing teacher competence, five per cent saw it as developing professionals and seventy five per cent as the reflective practitioner model. It could be argued that the reflective practitioner model is not incompatible with the competence model and the ideology of the new professionalism. Hargreaves (1994) warns that the opposite may also be true, that reflective practitioner models are based on an individualistic culture. Grundy (1992) supports this view, pointing out that action research and teacher as researcher models have been directed to the improvement of individual practice. Hargreaves (1994) goes further by claiming that "The transition to the post-technocratic model is painful for many lecturers, as it entails a loss of professional autonomy and a sharing of power which is not easy since the culture of higher education is an extreme version of highly competitive individualism". Optimistically Hargreaves continued by claiming that " The transition to the post-technocratic model will undoubtedly contribute to the promotion of the new professionalism" (p.431).

Alongside Hargreaves' concept of the new professional is the wider debate of the New Public Management (NPM). The NPM is seen as a management hybrid with a continuing emphasis on core public service values (Ashburner et al. 1994). It represents a fusion of private and public sector management ideas, re-energising public sector managers by outlining a public service mission. According to Ferlie et al. (1996) the NPM emphasises differences between management in the private and public sector and the development of an interesting new hybrid role as professionals move into the arena of management. The result is the emergence of the professional manager. The NPM challenges the view that professionals have lost out to managers. Closer inspection suggests that there has been a complex and interactive process of adaptations by managers and professionals. Professionals are adopting management roles and adapting to them and becoming involved in the management process. As a result there is evolving a new cadre of professional managers, operating in their management role and using their professional values as the prime drivers of their management actions. This view of

the professional manager is different from Hughes' dual model as the suggestion is not that the professional has aspects of the work which are professional and other parts of the job which are management; the hybrid/professional manager performs a management job but based on professional values. The question remains as to how these hybrid managers or the new professionals are to be developed and what training is required?

***Management education, development and competence***

Fundamental questions need to be answered about the nature of management in schools and how headteachers need to be educated in management theory and management practice. Changes occurring in the ways schools are managed, and in the changing role of the headteacher, are mirrored by changes in management education and management development. Since the first business school was set up almost one hundred years ago, there has been a search for the key to effective management development. This search led to an attempt to generate coherent theories of management, but to date coherent theories of management have been elusive. The concept of management is uncertain; the process of managing is closely embedded in the total action of the organisation. Morgan (1986) revealed the differing images of the reality of the organisation; Cave and McKeown (1993) warn "It is problematic to attempt to separate management from the other activities of an organisation and to isolate it from the context in which it takes place" (p.122).

From the late 1960s onwards attention turned from the study of management to the study of the behaviour of managers, observing managers in action. The empirical studies of Stewart (1967, 1975, and 1982), Mintzberg (1975) and Kotter (1982) in particular highlight the significant differences between managerial theories and managerial behaviour. The results of these types of studies were problematic as differences were highlighted not only between managers in different organisations but also between managers doing the same job in the same organisation. As a result generalisations about the nature of management are dubious. Observational studies have also been criticised

(Hales, 1986) as they reveal nothing about the competences needed by a good manager. None of the studies analysing how headteachers spend their time explained the intentions underpinning the observed behaviour, nor did any of the studies attempt to discover outcomes. This relationship between intentions, actions and outcomes is very important in an attempt to specify what managers should do in order to be effective.

A particular problem for any professional development including management development is the place of theory and skills. Professionals need a body of knowledge as well as competence in the performance; the question as to which should be emphasised has had a pendulum effect. There are those in the university sector who tend to emphasise theory and those who are part of the competence movement who emphasise a 'how to do it' approach. A review will be undertaken of the three approaches to professional development, each of which incorporates a differing view of how expertise influences professional action. The three approaches, expertise through the application of theory, expertise as a technical skill - the competence approach, and expertise through reflection will be discussed in more detail:

**1. Expertise through the application of theory**

Bines (1992) refers to this approach as the technocratic model, where professionals are characterised by a professional knowledge base and each profession claims unique forms of expertise. Emanating from this unique knowledge base has been a close relationship between the professions and higher education and higher education has developed professional programmes which legitimises the unique knowledge claims. There is however a danger that theories are not always relevant to practice and are inserted into the curriculum to enhance the intellectual underpinning of the programme. Ecclestone (1995) summarises this point "Recent critiques of teacher training and professional development highlight a general gap between research and practice" (p.120). In addition there is the problem that curriculum reflects the strengths of the staff within the university rather than meeting the needs of the professional. Schon (1987) differentiates

between the high ground and the swampy lowland of professional practice, "In the varied topography of professional practice there is a high, hard ground overlooking a swamp. On the high ground, manageable problems lend themselves to solutions through the application of research-based theory and technique" (p.3).

Traditionally the universities have provided the research-based theory and techniques of the high hard ground; problems are solved by the application of theory derived from knowledge. There are problems of transference when students fail to see the relationship between general theories and particular situations and there is also the danger of theory becoming too far removed from practice. Ball (1994) refers to "mantric theories" - "theory can also work to provide comforting and apparently stable identities for beleaguered academics in an increasingly slippery world.... Too often theory becomes no more than a mantric reaffirmation of belief rather than a tool for exploration and for thinking otherwise" (p.121). Eraut (1994) underlines the fact that little is known about how professionals learn at different stages of their career or how they acquire different types of knowledge rather than a narrow body of propositional knowledge.
Theories and principles are intended to provide a guide to practice but there is an additional stage between theory and practice and that is the knowledge of which theory is appropriate to a particular area of practice.

## 2. Expertise as a technical skill - the competence approach

The inconclusive research on what leads to managerial effectiveness has not deterred those who seek to identify the generic competences of successful managers and in Britain the National Forum for Management Education and Development (NFMED) established its executive arm, the Management Charter Initiative (MCI) to develop generic occupational standards for managers (this is discussed in chapter one).

The management standards are claimed to be transferable to any manager in any organisation; thus a manager in school will be expected to meet the same requirements as a manager in any other organisation at the same level of management. In general

terms competence can be viewed as the ability to perform work activities to the standards required by any particular occupation. A basic definition of competence is, "A description of something which a person who works in a given occupational area should be able to do. It is a description of an action, behaviour or outcome which the person should be able to demonstrate" (Training Agency, 1988).

The concept of management competences and the use of competence models in management is not new and the origins of the competence approach go back to the 1920s in the USA. In the 1960s there was an attempt to develop competences for teacher education and in 1968 the United States Office of Education funded eight pilot programmes for initial teacher education. During the 1970s the search for generic management competences gained momentum and in 1971, the American Management Association (AMA) analysed the reported behaviours of one thousand eight hundred managers. The definition of competence offered was 'a generic knowledge, motive, trait, social role, or skill of a person linked to superior performance on the job'. There was an emphasis on the development of managerial competences based on the distinguishing characteristics of managers who demonstrated superior performance at work. The work on management competence led to the research being extended to develop competences for school principals. The National Association for School Principals (NASSP) established a set of generic competences for school principals for use in selection and promotion assessment centres. The NASSP approach has extended to Australia, Canada, Sweden, The Netherlands and the United Kingdom. Yet despite all the early work undertaken in the USA on management competences there was no attempt by the government of the USA to create a national set of management standards.

The use of the competence model in the UK in the 1970s and early 1980s was limited to the work undertaken in the larger companies who attempted to identify the key managerial competences required by managers in their particular company. Examples of this work have been summarised by The Ashridge Report (1988) on company specific

management competences. Unlike the USA the British Government has sought to develop a national strategy for vocational qualifications. The National Council for Vocational Qualifications (NCVQ) was formed in 1988 in order to "secure standards for occupational competence and ensure that vocational qualifications are based on this". In the White Paper (Department of Employment, 1988) it was stated clearly that "there must be recognised standards of competence, relevant to employment, drawn up by industry led organisations covering every sector and every occupational group, and validated nationally".

In the USA management competence was based on research of superior effective managers; in contrast in the UK the MCI framework emphasises outcomes from the performance of managers at an average level of performance.

There is considerable political support behind the competence movement as it is seen to be an important component in improving the efficiency of the labour market and the performance of the economy.

The terms competence and outcomes characterise the NVQ approach; to say individuals are competent is to assert that their actions meet the requirements of a set of standards. The standards range from level 1 to level 5. Level 1 requires : "Competence in the performance of work activities which are in the main routine and predictable or provide a broad based foundation, primarily as a basis for progression". Level 4 in contrast, specifies that "Competence in the performance of complex, technical, specialised and professional work activities, including those involving design, planning and problem solving, with a significant degree of personal accountability. In many areas competence in supervision and management will be a requirement at this level" (Jessup, 1991:23). Level 5 is applicable to programmes in university and is even more demanding. Although universities will claim that their programmes have broad aims and are not just a matter of developing competences the NVQ approach is unequivocal as Jessup (1991:130) clarifies "Outcome statements can be created for all learning which is considered important or that people want".

The competence movement has been promoted by a number of organisations in particular the NCVQ which deals with the entire vocational field, and the Management Charter Initiative (MCI) which has been concerned with the development of generic managerial competence. Although within education, competence based approaches up until recently are less common, there is a growing literature on their uses and potential. There have been a number of different approaches to competence, including assessment centres, profiling and management development. Everard (1990, 1992) and Esp (1993) provide summaries of school based competences.

There have been a number of projects in the UK using a competence model for headteacher assessment and development. They include:

1. The National Educational Assessment Centre (NEAC).
2. The North West, Cleveland and East London Projects.
3. The Norfolk and Kent Projects.
4. The Calderdale and Manchester Polytechnic Project.
5. The School Management South Project.

The focus of the research in this dissertation is on occupational standards for management development in schools, specifically those standards associated with MCI and therefore the work on headteacher assessment centres will be outlined but the projects developing management competence will be considered in more depth. Details of these projects are contained in Appendix 1.

There were a number of benefits and concerns arising out of the projects using management standards; these were:

*The Benefits*

In a number of the studies either using the MCI standards (Bowles, 1992; Jagger, 1991, 1992; Powell, 1992) or its school management variant (Dudley, 1992; Earley, 1992) there is evidence of individuals gaining considerable benefit from working with the standards. In the School Management South (SMS) project the majority of the twenty five participants from the seven pilot schools reported that significant benefits had accrued; "Comments were made about how the school management encouraged reflection about work-based performance, increased self-esteem and motivation, reduced stress, contributed to team-building, enabled progress to be recorded and achievements demonstrated, and gave a necessary higher profile to career development and planning" (Earley, 1993 : 235).

The School Management Task Force (SMTF) funded *profiling projects in the West* Midlands Consortium and they recorded similar benefits to the SMS project. The final report of the project indicates that the use of the standards "heightened morale and motivation and promoted a culture of self-analysis and reflection within groups (Dudley, 1992 : 3). Teachers reported changes in their behaviour as a result of thinking about management processes, "They enacted the managerial perspective by seeking development opportunities within the school to fill the gaps in their experience, to set targets, prioritise and plan. Becoming more effective managers, they improved their support for learning in the classroom" (Dudley, 1992 : 4). The schools themselves gained as a result of using the standards. The results from the SMS and the Midlands projects claimed that the standards could be used to improve school effectiveness, to help bring about changes necessary for school improvement or as a source of ideas for new policies of management development and training. The SMTF funded projects in the Yorkshire and Humberside consortium using the MCI standards also noted positive results ranging from those participants "who saw it as one of the most significant professional development experiences" to others who reported positively on the process (Powell, 1992). Powell outlines eight ways in which the professional or management development was assisted by the use of the MCI standards, namely : general

communication and management, reviewing practice, raising awareness and developing reflection, highlighting issues for development, planning and organisation, developing and supporting others, practical, professional recognition and personal benefits (Powell, 1992 : 10-12).

Similarly the MCI standards have been utilised by three LEAs in the North West of England (Bowles, 1992). The resulting benefits were clustered around the following: validity/acceptability; self-paced; recognition; framework to work on; individual and organisational links; an aid to review and self development (Bowles, 1992 : 25-26). Six months later the same respondents were asked to comment on whether undertaking the MCI process had helped them develop as managers. The responses indicated an increased awareness and understanding of managing, and a greater appreciation of the importance of interpersonal relationships (Bowles, 1992 : 31-32).

Bowles claimed that working with the MCI standards encouraged participants to review regularly their performance as managers and that the standards : validated what teachers were doing from day to day as managers, helped clarify duties and relationships, encouraged delegation and greater participation in school decision making and empowered participants to request additional experience where gaps in competence were revealed (Bowles, 1992 : 49).

There is ample evidence in all the SMTF projects that the standards helped act as a platform for management development. Earley (1993) however warns that the project reports should not be seen as an endorsement of standards-based approaches as the process set up in the schools, for example, action-learning sets and mentoring may be of greater significance than the standards themselves.

*The Concerns*

The main concerns raised were resource implications, the costs of working with the standards was seen by many as too resource intensive, both in terms of time and money. Criticisms were levelled against the language of the standards, the 'competency-speak' and the management jargon. Bowles (1992 : 48) suggests that "Some of the difficulties experienced appeared to relate to a lack of clear understanding of what management is". A concern raised by participants in the North West project was that the MCI standards failed to prioritise, "While some skills are common, some skills are used far more often than others by education managers and maybe we should be targeting on priority skills as well as on commonality" (Bowles, 1992 : 48). The standards were criticised for not saying much about such concepts as flair, leadership or excellence. The standards it was claimed were predicated on a totally rational system, yet it was felt that in schools the competence to deal with the unplanned and unforeseen situations was very important. Some participants found evidence collection at times to be unrewarding and unproductive. There was a concern that the process of evidence collection "might favour the meticulous administrator over the 'manager by walking about' whose evidence might appear vestigial" (Bowles, 1992 : 49). Some schools took to competence based approaches more readily than others and as a result there was a concern noted that this approach to management development may only be adopted by the more 'thinking school' with a 'development culture'.

## *A CRITIQUE OF THE MCI MANAGEMENT COMPETENCE MODEL*

There has been a great deal of criticism of the use of a management competence model; the criticism can be grouped under the following headings :

- Perceptions of Credibility

Some of the problems of credibility has been associated with the more general attack on NVQs, and especially on NVQs at lower levels (levels 1 and 2). NVQs do not yet have the recognition enjoyed by more established qualifications. There is, however, an

increasing number of employers from the private and public sector, including schools who are using the MCI management standards at levels 4 and 5 for management development. Elliott (1991) argues that many individuals who see themselves as professionals do not like the competency based approach "They believe that it will deliver managerial control over their performance, leave less room for professional judgement and reduce their status to that of a technical operative" (Elliott, 1991, p.119). He expands on the criticism claiming that the competency approach denies one's professional knowledge and underestimates the complexity of management, concepts such as leadership, excellence, vision, creativity and culture are largely missing from the standards.

Since 1992 courses in management education and teacher education have been reorganising and reformulating courses in line with Government decrees on competence. There is little doubt that professionals in higher education are not happy with the competence approach. The main complaint that academics make is that the competence approach denies a substantial role for theoretical understanding as a basis for professional practice, and as a result marginalises the contribution of academic institutions in the *development of the professionals.*

The attacks on the competency approach could be argued as evidence of self interest from the higher education sector. Silver (1991) comments that universities have reacted unfavourably to ideas of output based measures, perceiving such activities to be a threat to the autonomy of the organisations. The Unit for the Development of Adult Continuing Education (UDACE) argues that "Any radical shift of control of education and training away from teachers and institutions to the user (individuals and employers) is bound to create anxieties and resistance from a variety of quarters" (UDACE, 1993 : 33 ).

- Knowledge and Understanding

The credibility of the competence approach has been questioned on the extent to which the approach takes adequate account of the knowledge and understanding of the management principles that managers need to fulfil their role effectively in a wide range of circumstances. The key issue is whether the competence can be assessed; Barnett (1994) however claims " this belief that competence can be identified and sought without implications for the learning process is naive or mischievous" (p.74). Silver (1991) argues that the output based focus of competence is an insidious attack on knowledge based skills. Constable (1987) acknowledges that "It is extremely difficult to separate out competence from skills and knowledge. It seems probable that a manager may have knowledge and skills but not be competent, but it is increasingly unlikely that a manager will be competent without having skills and knowledge". Wolf (1989) argues that there is no bifurcation between competence and knowledge. She claims that knowledge and understanding can be inferred from the competent performance. She goes further with this line of argument by claiming that general as well as context-specific knowledge can be inferred, as to learn something specific is also to learn something in general. Wolf believes that general knowledge structures are better deployed in the context of use rather than in decontextualized form. There are many critics not happy with this perspective, rejecting the assumption that knowledge and understanding only have instrumental value.

There is a set of epistemological and ontological problems associated with the primary focus on skills at the expense of knowledge and understanding. Knowledge is included in the competence model where necessary and it is only knowledge which can be demonstrated e.g. using one's knowledge of the Equal Opportunities Act when selecting staff. The definition of what knowledge is valuable is based on its applicability; it does not matter how or where managers learned their skills as long as they can demonstrate them. Understanding is not given any serious attention and according to Barnett (1994) to reduce the concept of understanding to observable performance has four ontological deficiencies :

1. The causal account of human action is flawed; Winch (1963) produced a critique of this approach stressing that we cannot know what individuals are up to simply by observing them. Barnett expands this thesis by claiming that we cannot assess actions at work simply by observing it; we have to take into account the individual's understanding. "It is not that the understanding lies behind the action. It is the much stronger claim that the actor's understandings are constitutive of the action" (Barnett, 1994 : 76).
2. The NCVQ/ competence approach offers a model of human being as being operational and performing, this contrasts with the view of human being as thoughtful and discriminating.
3. The third ontological void according to Barnett is the relationship of persons to their work. The Marxist distinction between labour and work is absent in the competence model and all that is being offered is a restricted model of labour.
4. There is no account of the relationship between thought and action. "Being so concerned with action and behaviour as such, the ways in which - in professional life, at least - action is saturated with thought, understanding, and reflection is entirely neglected" (Barnett, 1994 : 76).

There have been a number of contributors to the competence debate stressing the need for knowledge and understanding to be kept side-by side with competence outcomes (Jones and Thomas, 1994). New versions of NVQs are adapting the standards to include knowledge underpinning but the issue still remains as to which knowledge is included.

- Making Conceptual Links between concrete experiences and the units of competence within the competence framework.

Problems of transference from theory to practice are well known among management educators. In some senses, the problem occurs in the competence framework but in

reverse. That is, managers know what they are doing but cannot always see how these can be generalised as a unit of competence as defined by MCI. An important part of the development of managers is the reflection which needs to take place of issues, so that general lessons can be drawn from specific events (Argyris and Schon 1978).

On conventional management development programmes, managers are encouraged to contemplate the usefulness of management theories and to apply them to particular situations in their organisations. On the competence programme, managers are expected to reflect on their concrete experiences and to think of the general lessons to be learned from these experiences, that is, managers are encouraged to make links between theory and practice in 'both directions'. Thus, drawing on the ideas of Schon (1988) and Glaser and Strauss (1967) the managers are helped to generate generalisations which may be further tested in new situations, later. There is the need to help managers to develop some degree of meta-competences *(Brown 1993).*

- Difficulties of Assessment

Difficulties of assessment are inherent in all kinds of management development programmes, not just in the competence models. It is important for evidence submitted in portfolios to be valid, reliable, current, authentic and sufficient, and one of the strengths of the competence approach compared with traditional approaches is that in the former, specific attention is paid to the training of advisors and assessors. Two problems remain; firstly, the assessment of what managers know, and can do, is inherently subjective. Secondly, it is very important that assessors and advisors have the necessary theoretical background in management and that their experience is occupationally relevant; qualifying on the Training and Development Lead Body Standards is not enough; it must be in a vocationally relevant area.

- Generic Standards

As yet it is not known whether it is possible to identify management competences which are relevant to all managers in all kinds of organisations. There are clearly many

commonalities, for example the need to manage operations, people, finance and information; but there are also many differences based on the requirements, cultures and priorities within organisations. The more universally true any list of competences is, the less use it is in specific situations. Some managers and organisations deal with this tension by using the MCI management standards exclusively but selectively; others use a combination of the standards and organisation specific competences. This issue has not yet been resolved. Are educationalists better served by using the generic or sector specific standards? The obvious advantage for using generic standards is the clear scope for transferability; there is the potential for movement between school management to management in others organisations. Bowles (1992) claims that educational changes affecting the way schools are financed and managed has brought the world of education closer to that of business; as a result this leads to a greater acceptance of generic standards. Nonetheless there are many critics of the idea of generic management competence. The notion of a universal set of standards is questioned by Silver (1991) who argues that what managers do is determined by such variables as function, level and size and structure of the organisation. Jirasinghe and Lyons (1995) offer a framework for viewing competences at three levels; generic management competences, occupational specific competences and organisational specific competences.

- Reductionism

The MCI management standards reduce managerial activity to a large number of highly specific performance criteria largely based on behavioural assumptions. Many managers and management educationalists stress the holistic nature of management and believe that the whole is greater than the sum of the parts. It can be argued that the competence approach fails to capture this sense of synergy. There is a major reservation that the MCI competence approach contributes to the development and assessment of more narrowly defined specific competences. Jacobs (1980) claims that while it is possible to identify clusters of behaviours which can be classified as management competence; what is obtained is only "a partial and fragmented view of the complexity of managing". Does the attempt to break everything down destroy what is being studied and as a result there

is a total underestimation of the complexity of education management? Everard (1990) summed this up by stating that the competence approach "is like using a quantity surveyor rather than an artist to capture the grandeur of St. Paul's" (p.15). This view is shared by Thorpe and Holman (1993) who argue that M.C.I.'s reliance on functional analysis has produced a flawed product. They conclude "MCI may have little to offer managers in terms of their own development. In light of this the use of MCI as the mainstay of a management development programme should be seriously questioned" (Thorpe and Holman, 1993, p.15). Mangham (1986) criticises the competency movement likening the process to the development of an identikit manager. Smithers (1993) goes further with his criticisms considering the system of vocational qualifications to be "a disaster of epic proportions".

The issue of meta-competence for example, to deal effectively with non-routine and complex situations, and the development of generalisable abilities as distinct from task-specific competences is an important one. Brown (1993) emphasises the importance of meta-competences in management, "It is the meta-competences which come into their own when managers deal with the complexity of managerial work" (p.25). Pearson (1984) also draws a distinction between 'habitual skill knowledge' and 'intelligent skill knowledge'. He claims that habitual skill knowledge is obtained from the task one has to perform and enables one to perform the task without reflection. Intelligent skill knowledge involves the exercise of capacities for discernment, discrimination and intelligent action. He argues that the behaviourist ideology which underpins the competency movement has resulted in misconceived attempts to reduce intelligent skill action to habitual skill action. Brown's (1993) scepticism about the capacity of the competence approach to help managers to develop the meta-competence appears to be well founded. Barnett (1994) suggest that even the idea of meta-competence does not take one much further as meta-competence is still based on behaviours and capacities to act and as a result reduce the authenticity of human action.

Burgoyne (1989) puts forward the argument : "Research and common sense shows clearly that managing is not the sequential exercise of discrete competences...It follows that using divided up lists of competences to manage by, to select managers by, or to develop managers against, creates the problem of how the list is reintegrated together again into a holistic management performance. Learning separate aspects of managerial competence line by line does not guarantee integral managerial performance, nor can a manager who has been identified as having separate managerial competence be guaranteed to be able to use them effectively" (p.57).

However managers often prefer to deal with specific concrete tasks rather than the abstract concepts on which more traditional courses are based. Naturally, people vary in their preferred learning style (Kolb 1984) and this is not a claim that one type of learning style or one way of teaching is better than another. There is a need to help managers to become "reflective practitioners" (Argyris and Schon 1978) and to develop "meta-competences" (Brown 1993). The successful models for management development and learning should stress the connections between reflection, learning and actions. Reflection on and in action is important but so is critical learning. Barnett (1994) complains that in the NCVQ philosophy there is a conceptual thinness in its conception of the character of human being - an impoverished view of human action in which individuals are caused to perform against external standards, "It is a conception that human beings are mere performers rather than reflective actors" (p. 76).

### 3. Expertise through reflection

Both the theoretical approach and the competence approach to professional development derive from theories or from empirical investigation of practice and in both approaches the form of knowledge is mimetic, that is independent of its owners. There is a need for professionals to analyse situations within the context of action and this third approach to professional development assumes an interactive relationship between analysis and action, such that each influences the other. Questions about values, moral and ethical

dimensions are missing from the standards. In contrast the promotion of the reflective practitioner has emerged based on the view that professionals need to develop by reflecting on their actions and discerning moral tensions in professional practice. This reflective approach does not dismiss the use of general theories and principles but the assumption is that the role of the manager is interpretative rather than prescriptive. Schon (1987) described the rational theory approach as the "hard high ground" and he highlights that "In the swampy lowland, messy, confusing problems defy technical solutions. The irony of this situation is that the problems of the high ground tend to be relatively unimportant to individuals or society at large, however great their technical interest may be, while in the swamp lie the problems of greatest human concern" (p.3).

The work of Schon has gained wide support for the reflective practitioner model. His thesis, briefly summarised, is that there are many examples in the work of professionals when they are engaged in ill defined and uncertain situations. When professionals are engaged in this type of work, they draw on their own practical experience in an intuitive way and at the same time are reflecting on what they are doing. The distinctiveness of Schon's model is not based on intuitive problem solving but is embedded in a process which Schon describes as "reflection in-action". Schon differentiates between reflection in-action and reflection on-action; "we may reflect on-action, thinking back on what we have done after the fact, in tranquillity or we may pause in the midst of action to stop and think .... we reflect in-action". Eraut (1994) is critical of Schon's definition of reflection in-action because "Schon proceeds mainly by example and metaphor rather than by sustained argument" (p.143). Eraut also argues that Schon does not clarify sufficiently what is entailed in the reflective process. Eraut suggests that it may be more helpful to view Schon's work on professional knowledge and his earlier work with Argyris, as a theory of metacognition. Eraut is also critical of Schon's concentration on artistry and conversely on his lack of attention to the general, unproblematic parts of professional work. Eraut (1994) asserts "He (Schon) is principally concerned with developing an epistemology of professional creativity rather than a complete epistemology of everyday professional practice" (p 143).

It has been argued by Ball (1994) and Ecclestone (1995) that the reflective practitioner could also be viewed as one of the "mantric theories" about professional development. Ecclestone (1995) emphasises "Like knowledge and understanding, it is open to a myriad of interpretations and underlying values" (p.125).

The reflective practitioner is at the opposite end of the scale from the prepositional knowledge and highly theoretical content typical of the professional development offered in universities. There is a stress on theory-in-use which is differentiated from espoused theory. The reflective practitioner will reflect - in and on - action and as a result will be able to deal with the uncertainties and moral tensions in professional decision making and act accordingly. Management development should be viewed more as an art, corresponding to Schon's view of professional artistry, where heads will be making sense of and responding to their changing, uncertain environment. The core of the reflective approach is that for improvements in practice to occur heads must constantly reassess their practical knowledge to ensure their theories-in-action are relevant for their professional conduct as a head.

***Conclusions:***

There are a growing number of occupations which call themselves professions; simultaneously the professions, old and new, are being called to account for what they know and do. Professionals are being asked to be more consumer responsive. These changes call for increased expertise by the professional, not less.

This literature review has sought to explore the changing role of the headteacher and the picture emerging is of heads with challenging and demanding jobs, involving long working hours, lacking support and for many the work is becoming increasingly stressful. In addition there has been an exploration of some of the tensions that exist

between the view of the head as leading professional and the head as manager. The literature review also explores the tensions that exist between traditional, reflective and competence based approaches to management education and management development and has critically reviewed the approaches. The question of whether the three paradigms of management education, reflection and management competence are incommensurate needs further research. It could be argued that the relationship between academic and competence based qualifications had taken a new turn. There is a need for integration; the transitional approach of the 1980s maintained the status of educationalists as the senior partners; now with credit accumulation schemes, open access, flexibility, accreditation of prior learning and prior experience, the focus is changing rapidly. The question that arises is whether these changes are leading to a de-professionalisation or is a new type of professionalism emerging? The competency approach is viewed as contributing to the deprofessionalisation of teaching. Ribbins argues that teachers are no longer "independent professionals due to the evolving reality of life and work in schools" (Ribbins, 1990. p.92). Reynolds and Parker (1992) researched into school improvement and school effectiveness and conclude "It would be surprising if the effective headteacher of the 1990s bears more than a very superficial relationship with the effective headteacher as we now describe him or her" (p.178). This literature review provides the context against which the management development needs of headteachers can be researched; many of these issues will be resolved by more in-depth research.

The use of a competence model does raise a number of issues, including the following: What is the nature of the knowledge and understanding that underpins any particular management competence and how can competence based approaches be used to generate, and come to an understanding of management theory? What are the management theories of competent practitioners? How can we improve the assessment of competent management practice? How can we assess the deliberations inherent in management action? How are generic standards used to suit the needs of managers working in varied contexts? What might this tell us about the nature of their work and thereby improve our understanding of the nature of managerial work? How might

competence approaches be used to improve the quality of education management programmes in University Business Schools? Issues of this nature need to be taken into account when the National Professional Qualification for headship is published.

There is a growing literature on management competence some of which has focused on school management (Earley 1993, Eraut 1993, Ouston 1993) but there are many questions unanswered. Given the large number of primary heads, it is surprising there is so little written on the practice of educational management in the primary sector. Laws and Dennison (1990) highlighted the fact that there was a severely limited research base for promoting the development of headteachers. Southworth in 1995 claiming that there were very few relevant studies on primary headship: "Studies on primary headship are rapidly ageing. Despite the recent and current changes in education and their impact upon school management, all of the cited studies are based upon findings and experience which pre-date the 1988 Education Reform Act. Consequently all of them might be irrelevant in some, if not all respects" (p.ii). This research will build on this sparse literature on management in primary schools.

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# *Chapter 3*

## Research Methodology and Methods of Data Collection

This chapter describes in detail the methodology used to inform the analysis and the methods of data collection. Hall (1996) stresses the importance of the research design, "The test question for any academic discussion which claims to be based on research findings is whether the conclusions are justified by the research design" (p.17). The chapter begins with a discussion of the theoretical framework; this is followed with a critical review of the methods of data collection and attempts to show the appropriateness of the methods for the topic being researched. The research design was developed in order to explore any changes in the role of the primary head especially in the last nine years since the ERA (1988) and to identify the management development needs of primary heads. The literature review suggests that the management activities are an increasing part of the work of the primary head yet there has been little attention given to management development and management training for heads until the recent move by government to consider such training for newly appointed heads.

### Theoretical Framework

Assumptions about the world of the researcher are revealed in the methodology chosen. Gouldner (1971:50-51) argues "Viewed from one standpoint methodology seems a purely technical concern devoid of ideology....It is a good deal more than that, for it is commonly infused with ideologically resonant assumptions about what the social world is, and what the nature of the relation between them is".

It is important that the researcher is aware of the assumptions on which her own perspective is based. Exploring these assumptions confronts us with problems of ontology, epistemology and human nature. Assumptions of an ontological nature concerns the very essence of the phenomena being studied; is reality a given in one's

world or a product of one's mind? Associated with the ontological question is another set of assumptions of an epistemological nature, assumptions about the nature of knowledge. There are also assumptions about the nature of human nature, ranging from the belief that we have free will to a more preconditioned view of human nature. These three sets of assumptions have direct implications for the methods of research adopted; "Different ontologies, epistemologies and models of human nature are likely to incline social scientists towards different methodologies" (Burrell and Morgan, 1979:2).

Burrell and Morgan (1979:3) outline the subjective- objective dimensions :

| ***The subjective approach*** | | ***The objective approach*** |
|---|---|---|
| *Nominalism* | ***ontology*** | *Realism* |
| *Anti-positivism* | ***epistemology*** | *Positivism* |
| *Voluntarism* | ***human nature*** | *Determinism* |
| *Ideographic* | ***methodology*** | *Nomothetic* |

Thus if one accepts the philosophical assumptions of positivism and its epistemological prescriptions, this will lead to the utilisation of a nomethetic methodology. Conversely if one's philosophical preference is interpretative one is drawn to an ideographic methodology.

There are differing opinions given on the relationship between epistemology and research techniques; for example, Guba and Lincoln (1988) offer a view at one extreme where assumptions underpinning the positivist paradigm are in opposition with assumptions underlying the naturalistic (interpretative) paradigm:

"A call to blend or accommodate them is logically equivalent to calling for a compromise between the view that the world is flat and the view that the world is round" (1988:93).

Burrell and Morgan (1979) distinguishes three main levels of difference :

- the philosophical level which reflects basic beliefs about the world;
- the social level, which provides guidelines about how the researcher should conduct his or her research;
- the technical level, which involves specifying the method and techniques which should ideally be adopted in conducting research.

These ideas have been developed by Easterby-Smith et al. (1991:27) in summarising the main differences between positivist and phenomenological perspectives.

***Table 1 Key features of the positivist and phenomenological paradigms***

| | ***Positivism*** | ***Phenomenology*** |
|---|---|---|
| Basic Beliefs | The world is external and objective.<br>Observer is independent.<br>Science is value-free | The world is socially constructed and subjective.<br>Observer is part of what is observed.<br>Science is driven by human interests. |
| Researcher should | Focus on facts<br>Look for causality and fundamental laws<br>Reduce phenomena to simplest elements<br>Formulate hypothesis and then test them. | Focus on meanings<br>Try to understand what is happening<br>Look at the totality of each situation<br>Develop ideas through induction from data. |
| Preferred Methods include | Operationalising concepts so that they can be measured<br>Taking large samples | Using multiple methods to establish different views of phenomena<br>Small samples<br>Investigated in depth or over time. |

The relevance of the epistemological debate is that the different perspectives imply different methodological approaches to research; as Bogdan and Taylor have stressed the debate is not just philosophical in nature : "Since the positivists and the phenomenologists approach different problems and seek different answers, their research will typically demand different methodologies" (Bogdan and Taylor, 1975:2).

At the other end of the opinion scale however are those researchers who believe that one should move beyond the paradigm debate and use whatever methods suits the research problem e.g. Reichardt and Cook (1979). Miles and Huberman (1984) are wary of abstract epistemological arguments noting that an increasing number of quantitative methodologies are using phenomenological approaches and conversely a growing number of qualitative researchers are using pre-designed frameworks. They assert that "it is getting harder to find any methodologies solidly encamped in one epistemology. So without realising it, very clearly the paradigms for conducting social research have shifted and most people see the world with more ecumenical eyes" (1984).

Hartley proposes that it is not the techniques themselves which are positivist or phenomenological but it is the ways in which the data are interpreted that defines the epistemological assumptions on which they are based ( Hartley, 1994:210). While this view has some appeal it is over simplistic as the choice of data collection methods cannot be dissociated from the epistemological underpinnings.

This research is based upon the canons of qualitative research because there is not enough known about primary headteachers and their behaviour in schools and the "more elusive idiographic and inspirational aspects of the role have been ignored" (Hoyle 1986 : 102). The use of a more positivist, quantitative approach would not add to the rich data that comes from qualitative research. The purpose of the research is best informed by the

adoption of a qualitative methodology; the study is intended to be based in the pragmatic and reflect the practice of primary headteachers as they act on their reality.

The ontology of this research is based on a modified concept of nominalism, the epistemology is anti-positivism, human nature is seen as voluntarism and the methodology is ideographic. This inductive approach rejects the stimulus-response model of human behaviour and favours the stimulus-experience-interpretation-response model i.e. "the social construction of reality" (Berger and Luckmann, 1966). The research adopts a phenomenological approach and attempts to understand the meaning of events and emphasises people and their actions. This is located in the Weberian tradition which emphasises verstehen - the interpretative understanding of human interaction. At a philosophical level, the starting point of phenomenology is the notion that reality is socially constructed rather than objectively determined. The task of the researcher is not to gather facts and measure them but to appreciate the different constructions and meanings that individuals place upon their experience. The research attempts to gain entry into the conceptual world of headteachers in order to understand what meaning they construct around events in their daily lives of managing their schools .

Hoyle (1986 :10) summarises the phenomenological approach "The social world essentially consists of people interacting with each other, negotiating patterns of relationship and constructing a view of the world". This is a central tenet of Kelly's Theory of Personal Constructs (1955) where Kelly saw personal constructs as an attempt a person makes to understand the world and a construct as essentially a discrimination which a person makes; constructs are not verbal labels. Kelly (1955) defines construing as a person's attempt to transcend the obvious and construct theory treats scientists as persons and persons as scientists. The personal construct theory has its philosophical assumptions explicitly stated, which Kelly labelled constructive alternativism.

Kelly (1970 : 1-2) summarises his ideas as follows "....the psychology of personal constructs is the implementation of a philosophical assumption....it does broadly suggest that even the most obvious occurrences of every day life might appear utterly transformed if we were inventive enough to construe them differently....Constructive alternativism.... can be contrasted with the prevalent epistemological assumptions of accumulative fragmentalism, which is that truth is collected piece by piece". Kelly is asserting that one can only make assumptions about what reality is and then one proceeds to find out how useful or useless these assumptions are. This approach impacts on the free will versus determinism debate; construct theory avoids the doctrine of unlimited free will which suggests a humanity that cannot be understood because it has no cause and effect aspects. It also avoids the doctrine of determinism as put forward by the behaviourists; Kelly argued "that you are not the victim of your autobiography though you may enslave yourself by adhering to an unaltered view of what your biography means. Thereby you may fixate your present" (Bannister and Mair, 1986 : 7). The position that Kelly adopts is derived from Kant's; they both argue that there is a reality out there but our knowing of the world can only be seen in terms of our experiences. The theory emphasises that the social world we inhabit is continually changing and as a result the constructs we form to understand the world must also continually change. The central tenets of the theory are stated in the form of a fundamental postulate and eleven corollaries.

**Fundamental postulate**

"A person's processes are psychologically channelised by ways in which he anticipates events." Everything we think, feel and do results from our attempts to understand the world.

**Corollaries:**

1. **Construction corollary** - "a person will anticipate events by construing their replications". Every individual seeks out similarities and differences in

events and experiences with an expectation they will remain constant on a day to day basis.

2. **Individuality corollary** - "persons differ from each other in their construction of events". Each individual has unique experiences which allows the formation of unique mental maps.
3. **Organisation corollary** - "each person characteristically evolves for his convenience in anticipating events, a construction system embracing ordinal relationships between constructs". A person's construct system is viewed as being organised hierarchically with subordinate and superordinate constructs; core assumptions are found at the pinnacle of the construct system. The further up the hierarchy of constructs the greater the resistance to change.
4. **Dichotomy corollary** - "a person's construct system is composed of a finite range of dichotomous constructs". This emphasises that individuals generally divide their understanding of the world into bi-polar categories or in Kelly's terminology, emergent and contrast poles.
5. **Choice corollary** - "persons choose for themselves that alternative in a dichotomised construct through which they anticipate the greater possibility for the elaboration of their system". This embodies Kelly's philosophy of psychological development namely constructive alternativism. Individuals are seen as curious beings, striving to achieve a fuller understanding of the world and as a result would have greater ability to predict the world more effectively.
6. **Range corollary** - "a construct is convenient for the anticipation of a finite range of events only". This corollary is important as it suggests that a given construct can only be appropriate to describe a limited range of events.
7. **Experience corollary** - "a person's construction system varies as they successively construe the replication of events". Individuals will form and reform hypotheses in order to improve upon the predictive quality of their construct system. Individuals learn from their experiences.

8. **Modulation corollary** - "the variation in a person's construction system is limited by the permeability of the constructs within whose range of convenience the variations lie". This corollary is attempting to explain resistance to change.
9. **Fragmentation corollary** - "a person may successively employ a variety of construction subsystems which are inferentially incompatible with each other". This corollary explains the inconsistencies in an individual's construct system; individuals can hold beliefs that appear incompatible.
10. **Commonality corollary** - "to the extent that one person employs a construction of experience which is similar to that employed by another, their processes are psychologically similar to those of the other person".
11. **Sociality corollary** - "to the extent that one person construes the construction processes of another, they may play a role in a social process involving the other person". These last two corollaries move away from the individual and move into the interpersonal, emphasising the sharing of understanding .

In addition to the postulate and corollaries, Kelly also identified meta-constructs which describes the types of construing process used and give some indication of the likelihood of change within a construing system. These construct types are permeable, pre-emptive, constellatory and prepositional. For change to occur there must be some level of permeability within an individual's construct system. Pre-emptive constructs do not allow for change and are applied very rigidly. Constellatory constructs relate to pre-emptive construing but concerns groups of constructs which are repeatedly used together. Constructs that are prepositional in nature are seen as permeable and forming part of a working hypothesis.

Implicit in the theory is the notion that an individual does not respond to the 'real' situation but to the situation as he or she sees it. In turn a person's interpretation of the

situation will be a function of his or her current construing system. The theory is concerned with describing ways in which individuals organise and structure their world conceptually. The description involves postulating a personal construct system as a complex series of related 'goggles' through which an individual perceives reality. Thus a construct is not merely a label, it is in essence a prediction. Constructs may be regarded as templates to fit our environment and if they do not fit we modify the constructs.

Hoyle (1986 : 10) suggests "In the process of interaction different groups come to see the world differently, to develop different concepts of reality, and to construct different bodies of knowledge". This research will analyse the heads' concepts of their jobs and examine whether the body of knowledge they act upon is managerial rather than educational or whether they use both bodies of knowledge to inform practice.

The theoretical framework and perspectives of the research are predominately qualitative and "while qualitative researchers tend to be phenomenological in their orientation, most are not radical idealists" (Bogdan and Biklen, 1982:32). The researcher shares this view and although the research will emphasis the subjective the researcher does not deny a reality 'out there'.

**Qualitative research**

The research was a qualitative study of primary headship over a duration of eighteen months. Qualitative research methods were chosen as the most appropriate for the nature of the topic required an in-depth analysis of the work of the primary head. The research question requires a focus on the heads' perceptions of their work and role and this mode of self-understanding is hermeneutical - concerned with interpretations and meanings and this cannot be readily gained by using quantitative methods.

Bogdan and Biklen (1982) refer to qualitative research as an umbrella term which covers several research strategies which all share the following common characteristics :

1. The data collected is 'soft' and rich in description of people, places and conversations.
2. Research questions are formulated within a context, concerned with understanding behaviour from the subject's own frame of reference.
3. Qualitative researchers are concerned with process rather than simply with outcomes.
4. The analysis of the data is undertaken inductively and theory is developed from 'the bottom up' - grounded theory (Glaser and Strauss, 1967). Although qualitative research is commonly inductive, as stated earlier Miles and Huberman (1984) argue that it is also possible to use subjective/interpretative approaches within a deductive framework.

The emphasis on getting inside situations and on grounded theory allows the researcher to focus on individual meaning and interpretative systems and is the source of well grounded, rich descriptions occurring in local contexts. This is summarised eloquently by Bogdan and Taylor (1975:4-5) "Qualitative methods enable us to explore concepts whose essence is lost in other research approaches. Such concepts as beauty, pain, faith, suffering, frustration, hope and love can be studied as they are defined and expected by real people in their everyday lives".

The qualitative approach is not without criticism and issues of validity and reliability of results are problematic. It is obvious that the more the research is structured the more easily it can be replicated. Similarly the larger the sample the more likely are claims to population validity. Critics of qualitative research are implicitly contrasting qualitative methods to survey research where a sample can often generalise to a larger universe. "This analogy to samples and universes is incorrect when dealing with cases. This is because survey research relies on statistical generalisations whereas case studies rely on analytical generalisations" (Yin, 1989:43).

Qualitative research in general and this research in particular is strong on internal validity because of the emphasis on multiple perspectives. It is recognised that external validity is problematic in qualitative research and there are no claims made that this research has population validity or ecological validity.

Most qualitative research is based on small samples with a high emphasis on naturalism which in turn restricts the establishment of control, experimental groups and manipulation of independent variables. Explanations will be grounded in particular situations where local conditions make it impossible to generalise statistically, but working hypotheses can be offered for both the specific situation in which they are first discovered and for other situations (Lincoln and Guba, 1985:124). The results of the research aim to offer working hypotheses about the nature of primary headship.

A case study methodology was used and although the data collected represents twelve case studies, they are presented in an integrated way. Case study is a research strategy in its own right and does not necessarily imply an ethnographic approach. Yin (1989) argues that case studies can be descriptive, exploratory or explanatory; and explains (1989:23) that a case study is an empirical inquiry that :

- investigates a contemporary phenomenon within its real-life context; when
- the boundaries between phenomenon and context are not clearly evident; and in which
- multiple sources of evidence are used.

This research investigates the nature of headship in primary schools as it now experienced and multiple sources of qualitative evidence are used

Case study research may be viewed as the examination of a particular phenomenon, a process, an institution or as is the case in this research a small group of headteachers. This form of research usually involves studies of a much shorter duration than ethnographies, incorporating what Walker (1974) terms "condensed fieldwork".

According to Vulliamy (1990:14) case studies typically "rely principally on tape-recorded interviews and the collection of documents and, where observation is included, it tends to be limited and not of the comprehensive scale of the participant observer favoured by conventional ethnographers".

Case studies stress the importance of context; as Walker (1986) asserts " the case study worker collects information on biography, intentions and values which allows the researcher to capture and portray those elements of a situation that give it meaning" (p.14). Stenhouse (1978) has argued for the collection of educational case studies in order to build up a bank of professional knowledge. Ebutt and Elliott (1985) add that such a bank of expertise and collective insights into common problems would be an invaluable resource for teachers to build on when they reflect on problems in their own schools. Case study research may also facilitate the generation of theory through generalisations that may be made across cases. The working hypotheses that are offered through the case study research can be tested and refined in the context of other schools and organisations.

In the case study approach the data may be obtained from a number of different sources; and a range of techniques may be used; this allows the examination of primary headship from different perspectives and also facilitates the triangulation of data. The presentation of the research findings include the head's own words, the head's constructs and the researcher's interpretations.

## Research Methods

The methods of data collection comprise :

- Participant Observation - working with a group of six headteachers in order to analyse the appropriateness of the management competences at NVQ level 5 in management to the work of the primary head. The researcher had a dual role in this group, firstly as a researcher and secondly as a group facilitator; this duality of role is discussed later in this chapter.

- Documentary sources e.g. background and context of the schools from school brochures and management portfolios.
- Interviews - in depth interviews with the core group of six primary headteachers, plus a further six in-depth interviews with other primary heads from the same socio-economic and geographical area.
- Repertory Grid Interviews with twelve heads.

***Securing a sample for the group work:***

The first step in data collection was to secure a group of heads who would be willing to participate in mapping their work as headteachers against the generic middle management standards (NVQ 5). There were four criteria in the selection of headteachers for the research:

1. Experience - a minimum of five years experience as a headteacher.
2. Socio-economic - all schools should be based in the same socio-economic area.
3. Motivation - all are committed to the pursuit of a management qualification.
4. Sector - all schools are in the state sector.

The researcher began looking for a suitable sample by making a presentation to two cluster groups of primary headteachers from the same socio-economic area. The choice of schools was also made on the basis of ease of access of the school to the researcher; all the schools were within a fifteen mile radius of the researcher's home. This resulted in six heads volunteering to take part in the research group; although within one week of agreeing to take part, one head asked to withdraw as she had been informed her school was due for an inspection; another head, who met the criteria listed above, was asked to replace her and he agreed.

***The researcher / head relationship:***

There is a possible issue of subjectivity and bias as I knew all the heads prior to the research; indeed it would be very difficult in such a community as the South Wales

valleys to find a sample who were not known to me as I had been an education management consultant and lecturer in the same geographic area for over twenty years. There are a number of issues that need to be made regarding the heads as informants and my relationship with them. There are advantages and disadvantages in knowing the sample. A distinct advantage was the ease in which I was able to establish a relationship with them. I was able to 'get inside' the group and I found it easy for them to accept my role as researcher and facilitator. Rapport was established with no difficulty. A possible disadvantage of knowing the heads prior to the research was that they might have formed particular expectations of me. As Hammersley and Atkinson (1991) warn, the group of heads are likely to regard me as an expert or a critic or both! In analysing my effect on the group I found few problems and on balance there were far more advantages in knowing the sample.

***The Group Work - Participative Observation:***

A group of six primary heads were brought together to work on applying generic management standards produced by MCI to the work of a primary head. The end result for the heads was securing NVQ level 5 in management and gaining recognition for the work they were doing. I had a dual role in the group as facilitator and advisor on the management standards and secondly as researcher. In view of the significance of the roles as researcher, as observer and participating in the working group as advisor, it is felt necessary to subject both roles to general scrutiny before proceeding with the research.

The kind of critical reflection that will be used has been encouraged by Schon's reflective practitioner model (1988). The researcher acknowledges the difficulty in separating the roles of active participant and reflective observer. Rather than trying to eliminate the effects of the researcher on the investigation, the researcher attempts to understand her effect on the investigation and utilise this knowledge to elicit data.

"Once we abandon the idea that the social character of research can be standardized out, or avoided by becoming a fly on the wall or a full participant, the role of the researcher

as an active participant in the research process becomes clear. He or she is the research instrument par excellence" (Hammersley and Atkinson, 1991:18).

The researcher will attempt to understand the effects of the field role upon the heads in the group but as Campbell, Daft and Hulin (1982) have argued the notion of a neutral detached observer is a myth. They discovered that when they interviewed researchers they found that the researchers were not detached or neutral but felt passion for their studies.

There have been thirteen group meetings to discuss the management standards and how they are manifested in the work of the primary head. The duration of each meeting has been between two and three hours; the expectation of the researcher was that meetings would be one to two hours long. During the meetings the researcher noted the main issues arising from the discussions and also noted the heads' interpretation of the language of the standards as it applies in their work.

Pollard (1985:221) claims "Participation in the social process enables the accumulation of explicit knowledge, tacit knowledge and subsidiary awareness, which can only come from direct experience". The role of the researcher as facilitator in the group gives her a greater understanding of the work of the primary head. The main role of the researcher in these groups was that of observer for much of the time; but as Southworth (1995 : 43) stresses "Participant observation involves a number of dualities : immersion / marginality; going native / feeling strange; insider knowledge / outsider detachment; the immediate / the reflective".

*Documentary Sources*

Two types of documentary sources were used in the research, existing written documents and management portfolios. The written documents included such items as the school

brochure, job descriptions, letters from the head to the stakeholders, school development plans etc. The management portfolios consisted of details of the management work of the head matched against the performance indicators detailed in the management standards produced by MCI.

*Interviews*

The sample for the interviews consisted of the six heads already taking part in the group work and a further six heads. In securing the help of a further six heads an attempt was made to match their types of schools (primary or junior), gender and experience to the existing heads. The existing group of heads, hereafter called group A consisted of three males and three females; it was not possible to find a further three female heads with over five years experience as a head in the same geographic area, therefore it was decided to interview four males and two females, the school type and experience was matched to Group A. The heads were contacted by telephone and asked to take part in the research and there was generally no problems in gaining agreement for the interviews. All of the interviews in the second group (group B) took place in their schools. When the researcher arrived at a school to undertake the final interview (H12), it transpired that the head was absent from school due to stress related illness and very high blood pressure. This involved finding a replacement head from another junior school which matched the criteria listed earlier. This was achieved but delayed the research process by two weeks. There were two types of interview schedules; schedule one was devised for the six heads who had formed the group undertaking the analysis of the management competences (group A) and schedule two for a further six heads whose schools were based in the same geographic area as the others (group B). In group A interviews are used in conjunction with participant observation, documentary sources and the Repertory Grid. In group B the dominant research tools are the interview and Repertory Grids.

In both groups the interviews were semi-structured with relatively open ended question format, based on particular themes. The interview schedule is detailed in Appendix Two. The researcher was aware of the problems in controlling the interview too rigidly. This is highlighted by Bogdan and Biklen (1982 : 136) "When the interviewer controls the content too rigidly, when the subject cannot tell his or her story personally, in his or her words, the interview falls out of the qualitative range of interviewing". Semi-structured interviews were considered to be a more appropriate method of data collection in the research as it enabled the collection of 'rich data' and for comparisons to made across the sample. The interview consisted in part of the personal subjective accounts of the heads of their experiences in their career. "Personal documentary sources constitute a largely neglected source of data on the social world of schools and classrooms, especially when compared with the extensive use of the survey technique, structured interviewing, or systematic observation" (Hitchcock and Hughes, 1989 : 109).

A number of ethnographic studies of schools tended to focus on the present and as a result the research possibly lacks historical depth. In this research there is a focus on occupational histories and an analysis of the meaningful experiences over time that influenced and led to her /him pursuing the job of headteacher. While the case study approach will focus on a situational analysis, the personal documentary will be concerned with biography, the reflections, individual experiences and memories. However as Hitchcock and Hughes (1989) indicate, the situational and the biographic approaches are "two sides of the same coin"; the situational study will be influenced by the biography of the head and vice versa. By focusing on the biographic data there is a greater appreciation of the situational and this was an important part of the research. Woods (1987 : 124) justifies the value of life-history methods, understanding the subjective reality of the individual, "In a way that respects the uniqueness of individuals and promotes identification of commonalties among them. It is concerned with whole people in whole contexts".

Occupational histories are organised and analysed using Mandelbaum's (1973) approach. The material is organised into three sections:

- Dimensions of life including the individual's general, social, cultural and psychological experiences. In the research the heads are asked to recall their early experiences and why they choose teaching as a career.
- Turnings - a focus on key turning points in life, those turning points and transitions that individuals go through when taking on new roles. The turning points for each head may be different but the research focuses on particular turning points in the head's career moving from teacher to deputy head and from deputy to head.
- Adaptions - when individuals amend, alter and change values and attitudes. The adaptions are explored not only against the change in career but also against the imposed changes by the government.

Hitchcock and Hughes (1989 :132) conclude "The value of oral evidence and oral history approaches can be seen in their ability to add the ever crucial historical depth to individual's subjective experience.....oral history delivers the subjective world of actors for analysis in ways that other research finds difficult to achieve". The major themes explored in both interviews and the interview schedule are contained in appendix two.

In summary, the interviews which lasted up to three hours explored the heads' careers, the structure of their working day, their training and development as heads, their management styles and changes to their jobs since ERA, 1988. All the interviews were taped and transcribed. During and after the interviews, the heads commented on the fact that they found the research methods interesting and they welcomed the opportunity to reflect on their career and work as a head. This observation is in stark contrast to their initial reactions; when they were first approached to be interviewed many of them commented on not having much time for the interview and some were anxious that they would not have enough to say. In reality all the interviews were over two hours in

duration and in most cases the heads wanted to show the researcher around the school in order to point out the changes they had been discussing in the interview.

*The Repertory Grid*

In addition to the interview, detailed above, the Repertory Grid interview was also used. The Repertory Grid is an interview technique based upon Kelly's (1955) Theory of Personal Constructs. The manner in which an individual approaches new situations is mediated by past experiences and reflections; these influence the ways the individual perceives the world. These perceptions are unique to the individual and have been analysed by Kelly and from this has emerged Kelly's theory of personal constructs. In Kelly's view events, people or concepts are only meaningful when they are seen from the point of view of the person construing the meaning. The central tenets of the theory are stated in the form of a fundamental postulate and eleven corollaries and have been outlined earlier in this chapter.

Implicit in the theory is the notion that an individual does not respond to the 'real' situation but to the situation as he or she sees it. In turn a person's interpretation of the situation will be a function of his or her current construing system. Understanding the other person was to Kelly achievable only in so far as one can know how that person goes about making sense of his/her world. Each individual has a personal construct system which is a developed set of representations or models of the world. The theory is concerned with describing ways in which individuals organise and structure their world conceptually. The description involves postulating a personal construct system as a complex series of related 'goggles' through which an individual perceives reality. Thus a construct is not merely a label, it is in essence a prediction. Constructs may be regarded as templates to fit our environment and if they do not fit we modify the constructs.

There are many summaries of personal construct theory but Bannister (1970) summarises it as follows : "Construct theory - sees each man (sic) as trying to make sense out of himself and world". Hinkle (1970 :109) asserts that "personal construct theory is a set of rules for making behaviour intelligible".

Kelly outlined the Repertory Grid technique for assessing the relationship between constructs. A number of modifications to the origin method have been introduced e.g. Bannister (1960, 62, 63, 70), Hinkle's Imperial Grid (1965, 70), Fransella (1970, 77) but all forms of the Repertory Grid techniques are derivatives of the original Grid proposed by Kelly (1955). The Repertory Grid is a flexible technique that has been used in a variety of ways e.g. treatment of stuttering, marriage counselling, personnel selection and appraisal. Indeed its range of applications has widened and continues to widen and is becoming one of the mainstream methods of data collection. Kelly's approach has been viewed as within the observational, inductive, ethnomethodological research paradigm despite the use by some researchers of statistical packages to analyse the grids.

As the researcher has not based any of the research on direct observation in schools, it was considered appropriate to use the Repertory Grid to gain further information on how the heads interpreted their work and how they viewed what was important or unimportant in their work. The technique concentrates on the individual head's personal construct system and allows the researcher to explore in some depth the head's ideas about the job and what matters to him / her. Also in studying the total group of twelve heads, the researcher is able to focus on the degree of commonality in the way in which they construct their cognitive maps of their work.

In order to make the comparison of grids easier, some researchers have supplied the elements. It was considered appropriate for this research that the heads would be allowed to supply both elements and constructs in order to elicit information that was particular to each individual person. There was also interest in the language used by the heads in describing their work and whether those heads who took on a more management

perspective would as a result identify more management activities in defining the elements of their work.

*Interpretation of the Repertory Grid*

To illustrate the use of the grid, it is proposed to take one grid and to give examples from this grid. A sample of grids are detailed in chapter six along with a composite analysis of all grids.

Initially elements need to be elicited and in this research the elements represent job activities. A decision was taken not to supply elements to the heads because what was of interest in the research was finding out those elements of the job which were significant to the head. Of equal note and importance were the elements which were not supplied by the heads for the grid and were therefore seen to be less important in the heads' view of their work. A possible weakness of the approach is that the elements identified were those elements which were of significance to the heads at that time. External factors, for example an impending school inspection or an internal problem such as the state of the school roof might focus the heads' perceptions onto certain job elements and not others. None the less the job elements serve as a valid snap-shot at a particular time into the heads' views of their work.

In order to elicit the elements the interviewer elicits job activities with prompt questions. On the first card the interviewee is asked to write the name of an activity she performs in the job which is very important. H4 for example wrote planning as a very important activity and this becomes element one. On the second card the head is asked for another important activity, H4 responds by stating monitoring; this becomes element 2 in the grid. The remaining elements are obtained with further prompt questions such as an activity which takes a lot of the head's time, further examples of important activities, one off activities, routine activities etc.

To obtain the constructs the interviewer takes the cards, three at a time according to a pre-arranged schedule and asks the head to consider the activities on the three cards and state in which way any of two activities are similar to each other and different from the third activity. In the case of H4 , she was handed cards with elements 1, 2, and 3 written on them. H4 replied that E1 planning and E2 monitoring were similar as they needed learning objectives. Learning objectives is then recorded as the first construct. The interview continues until the interviewee has exhausted his/her answers and a list of constructs is obtained. The interviewer has not suggested the responses produced in the interview. All the interviewer has done, in fact, is to provide a structure within which the interviewee compares and contrasts aspects of his or her job and expresses those comparisons in his or her own words. This approach helps to reduce any possible bias by the interviewer in classifying aspects of the work of the heads. It offers a more thorough and defensible interpretation of the heads' world as these heads saw it.

*Rating of constructs*

Once the elements and the constructs are elicited a grid can be produced by placing the elements along the top of the matrix and the constructs down the side of the matrix. The interviewee is then asked to rate each construct according to an agreed scale. In this case the scale 5 to 1 was used, so if H4 is again used as an example, on the construct 'involves communication skills', each element is rated as to whether the activity involves communication skills, if it does to a large extent then the element is given a rating of (5) down to a rating of (1) if it does not involve communication skills. In the same way other elements are then rated for the other constructs in the list. When the grid is complete it could either be analysed quantitatively or impressionistically; in keeping with the central tenets of qualitative methodology the researcher decided not to use a statistical package in analysing the results. To assist the comparisons between grids, a label has been given to the main components. This label suggests the essential trend of each component and enables a cross comparison of trends between groups of heads.

*Summary of the overall research design*

The research started with the group meetings with six primary heads and the meetings were used to get the heads to focus on the management standards and to compare the standards to their work as primary heads. Field notes were taken which recorded the conversations during the group work and observations were made by the researcher during the period of study.

This was followed by interviews with the six heads who had taken part in the group work and with a further six heads who were similar in terms of experience as heads and were from matched schools in terms of junior or primary schools in the same geographic area. All the interviews were taped and transcribed. The interviews were followed by the Repertory Grid technique. The use of these multiple perspectives provided a useful way of validating the data.

The particular methods of data collection used in this research provided an in-depth insight into primary headship. The group work provided an insight into some of the management aspects of the heads' work and a greater understanding of their roles. The interviews provided an in-depth and rich picture of many aspects of the heads' work and their careers. The Repertory Grids provided a particular view of the head's world and this data confirmed the analysis of the interviews. This offered a degree of triangulation between methods which is very important in undertaking qualitative research.

In conclusion, a qualitative study was considered to be the best methodology in order to explore in detail the role of the primary head. The analysis resulting could not have been obtained by using a quantitative, positivist approach. The qualitative methods that have been used, provide an emerging picture of the role of the primary head and provides an opportunity to explore the possible management development needs of primary heads.

The results do not provide a basis for generalising to all primary heads but provides a picture of primary headship as construed by twelve experienced heads and contributes new information to the theories of education management.

# *Chapter 4*

## Analysis of the group work

### The Group Meetings - Participative Observation

A group of six primary heads were brought together to work on applying generic management standards produced by MCI to the work of a primary head. The end result for the heads was securing NVQ level 5 in management and gaining recognition for the work they were doing. The researcher had a dual role in the group, firstly as facilitator and advisor on the management standards and secondly as researcher. In view of the significance of the roles as researcher as observer and participating in the working group as advisor, both roles are subjected to general scrutiny in chapter three.

The researcher met the group once per month and although the anticipated length of the meetings had been between one hour to one and a half hours in duration; each meeting in fact lasted between two to three hours. The group meetings began in September 1995 and ended in October 1996; thereafter I met the heads individually to give them any additional advice they required in putting together their portfolio of evidence.

The aim of the group meetings was for a group of six experienced headteachers to examine the relevance of the generic management standards, NVQ level 5, to their work as primary headteachers. The heads were asked to established their managerial competence using the MCI Level 11 standards (NVQ 5) as a framework for examining their practice. Competency is defined within this NVQ framework as the ability to perform work activities to the standards required in employment. Standards are outcome statements which provide a benchmark against which performance can be assessed. In the occupational area of management MCI were given the responsibility for devising generic standards for managers and in this research there was no attempt to modify the standards.

The heads worked through the same standards as any other manager would from any sector of employment.

The objectives of the group were :

- To enable headteachers to obtain a management qualification.
- To provide a framework within which headteachers could match their work performance to the generic middle management standards. The standards had been researched by MCI through questionnaires and interviews to over two hundred managers; although no headteachers were included in the survey.
- To provide benchmarks against which the heads could match their performance and where appropriate seek to improve.
- To provide within the group meetings an opportunity for discussions on strategies for evidence collection.
- To contextualise the application of the standards to the head's role and to the school environment.

***Table One*** : ***Time in post, gender and qualifications***

| Heads male (M) or female (F) | Number of years as head | Number of years as deputy head | Number of years as class teacher | Number of headships | Initial *qualification* | In-service *qualification* |
|---|---|---|---|---|---|---|
| H1 M | 9 | 4 | 14 | 1 | Teachers cert | B.Ed |
| H2 M | 8 | 4 | 16 | 1 | Teachers cert | B.Ed, M.Ed |
| H3 F | 7 | 1yr 3m | 18 | 1 | Teachers cert | |
| H4 F | 12 | 6 m | 16 | 1 | Teachers cert | |
| H5 F | 6 | 2 | 12 | 1 | Teachers cert | |
| H6 M | 13 | 2yrs 6 m | 13 | 2 | Teachers cert | |

*Table Two:* ***Details of the heads' schools***

| Heads | Teaching head | School type | Number on roll 1996 | Number of teachers | Age of school buildings | Special classes |
|---|---|---|---|---|---|---|
| H1 M | no | primary | 230 | 8 | 6 | no |
| H2 M | no | primary | 200 | 7 | 100 | no |
| H3 F | yes | primary | 100 | 3.5 | 120 | no |
| H4 F | yes | primary | 154 | 8 | 100 | 2 |
| H5 F | no | junior | 175 | 6 | 19 | no |
| H6 M | no | junior | 175 | 10 | 26 | 3 |

## Roles within the group:

*The Headteacher's Role*

The heads were expected to gather evidence of their managerial competence and present this in a portfolio. The portfolio is the file in which the head presents all the information and evidence to support his/ her claim to management competence. Typically the portfolio comprises a cover page, table of contents, career profile, cross referencing forms for the evidence (as a piece of evidence can be used to support more than one element of competence across units) and most importantly the evidence. Every performance indicator stated in the MCI standards needed to be addressed with suitable evidence. The evidence may be direct evidence of the head's work e.g. financial plans, school development plans, monthly/annual reports, appraisals etc. This evidence is anything the heads have produced themselves or for which they have been primarily responsible. There is also indirect evidence, that is information gathered from others about the head e.g. minutes of meetings, witness testimony, prizes, certificates, newspaper articles about the head etc. In addition there is the personal report or 'story

board' that is produced for each unit. The personal report play a very important role in this instance for the following reasons:

- the heads have evidence which is specific to schools and this personal account helps the assessor understand the context in which the evidence is based.
- the personal report allows the heads to highlight their management knowledge and understanding that is of particular importance to education managers.

***The Researcher's Roles***

My role in the group overtly was that of facilitator and advisor. As facilitator, I organised the diary of meetings in consultation with the heads and recorded the outcomes of the meetings. As advisor I helped them by providing examples of evidence from other managers' portfolios who had undertaken the programme in the past. There was no portfolios of evidence from primary heads available; although over three hundred managers had undertaken the competence route at the researcher's university, none of the managers was a headteacher. I also helped them to interpret the standards and organise their portfolio. In chapter three I discussed my dual role in the group; I was not only performing the roles of facilitator and advisor but also was using the opportunity to research their practice by reflecting on their reflections of their work. There was a dilemma in performing these roles; for example in my role as advisor to the group I wanted to keep the heads focused on the task of discussing the management standards but in my role of researcher I was interested in all the asides the many discussions of their problems in school. This was a major reason why the group meetings were so long; had I been only an advisor to a group I would have ensured that the discussions would have been more focused on the standards.

Field notes were taken which recorded details of the heads conversations and observations were made by the researcher during and immediately after each group work

session. On the basis of these notes, there follows a section on the group procedures and a section on the researcher's reflections of the group work.

***The Assessor's Role***

Assessors were used from the Competence Centre at the University of Glamorgan; it is not the practice at the University for the advisor also to act as an assessor for his or her candidates. All advisors have been trained as assessors but do not perform both roles in relation to the same candidates. The assessors and the advisor / researcher had obtained a qualification from the Training and Development Lead Body (TDLB) in advising and assessment. In this research it was considered important that the evidence was assessed in the same manner as evidence from any other manager from other sectors in order to ensure comparability between managers in schools and managers from other organisations.

There are up to six stages in the assessment process:

1. One to three weeks before an interview with the assessor the candidate submits a portfolio of evidence.
2. The evidence is reviewed by the assessor and an initial evaluation is made.
3. Initial feedback may be given to the candidate and requests could be made for further evidence before the interview takes place.
4. The assessment interview - oral questions clarifying the evidence, examining the knowledge and understanding and checking the authenticity of the evidence.
5. Additional assessments, as necessary if evidence is incomplete.
6. Feedback and credit awarded.

The assessment quality is assured by internal assessors and external verifiers. The external verifiers are appointed by the university and approved by the awarding body (BTEC).

***The Role of the Group***

The group meetings were aimed at providing mutual support for the heads as they worked through the standards. In the group sessions issues were clarified and the heads reflected on their practice and helped each other in putting together their management portfolios. The activities of the group are discussed more fully in the next section..

***Procedures***

The first meeting (September 1995) was held in one of the heads' schools, T Primary; the school was chosen as it was central for the majority of the heads. At this meeting the participants were issued with the MCI 'Crediting Competence Handbook' which contains the management standards, personal competence model, *guidance on evidence* collection and portfolio presentation. The MCI framework identifies four key roles which all managers need to fulfil, these are: the management of: operations; finance; people; information. Each of these key roles is broken down into units and each unit into elements and each element has a number of performance criteria and range indicators (Full specifications are supplied in the appendix). For example, the management of people (the third key role mentioned above) is sub-categorised into the following four units:

- Unit 5 Recruit and select personnel
- Unit 6 Develop teams, individuals and self to enhance performance
- Unit 7 Plan, allocate and evaluate work carried out by teams, individuals and self
- Unit 8 Create, maintain and enhance effective working relationships

Units are broken down into elements, for example:

*Unit 5 is broken down to the following elements:*

5.1 Define future personnel requirements

5.2 Determine specifications to secure quality people

5.3 Assess and select candidates against team and organisational requirements.

The hierarchical structure then continues so that each element is broken down into a number of performance criteria. There are two hundred and fifty performance criteria for NVQ 5 in management; in addition account is also taken of the range indicators, that is the various contexts in which one would expect the managers to be able to demonstrate their competence, and the knowledge and understanding which managers can be expected to possess in carrying out their work. In the first meeting the heads were introduced to the standards and given guidance on how to proceed.

The heads all worked in the same geographical area, and all knew each other before the research got underway; four of the heads had worked in the same school at the same time at an earlier stage of their career and establishing rapport in the group did not pose a problem. In this meeting a timetable for future meetings was agreed. It was decided that by the next meeting the heads would familiarise themselves with the workbook and provide an action plan and learning contract and in this contract they would indicate the unit with which they wished to begin.

The second meeting held again in T Primary School in October 1995 was devoted to discussions on when the group members planned to complete the programme; they all agreed that this work should be completed in one year. They also decided that they would start working on different units of competence and as a result would be able to help each other as they progressed through the standards. These are important decisions that will be returned to in the accounts of subsequent meetings. The heads also wanted more guidance on what sort of evidence would be acceptable and wanted clarity on the currency of evidence; could they include evidence from earlier in their career? It was decided that I would bring samples of evidence provided by other managers from other organisations. In the interim they agreed to start collecting evidence for their chosen unit of competence. At this early stage the issue of the language of the standards emerged as

problematic. They all found the managerial language of the standards to be unfamiliar and in part difficult to interpret in the school context. They found difficulty in translating such words as products and systems into the educational world of children and learning. Meeting three, held in November 1995 involved the heads in reflecting on their attempts to gather suitable evidence. The researcher brought examples of management portfolios from other managers and these were examined in order for the heads to gain an insight into what was expected in a portfolio. Each head discussed problems in interpreting the language of the standards and problems with evidence collection, although some heads had fewer problems than others depending on which unit they had chosen to start with. The two heads who started analysing units from the key role 'managing people' found very little difficulty in applying the performance indicators to their work and they were confident that they would be able to collect suitable evidence for assessment. There was a discussion at this stage about whether 'managing people' included managing children. The head who chose to begin with a unit from the key role 'managing finance' found no difficulty in applying the performance indicators to his role as a head in managing the budget. It was clear that this key role would have posed great difficulties pre Local Management of Schools (LMS). The head who started with a unit from the key role 'managing operations' had the greatest difficulty in interpreting the performance indicators and applying them to a school context. Over one hour of the meeting was devoted to a discussion on how this key role could be applied to a head's work and agreement was reached on the interpretation.

Only four of the six heads attended this meeting; one of the heads had a parents' meeting and the other head felt she was unable to attend any meetings after school hours. The decision to hold meetings after school had been a unanimous decision by the heads in the first meeting and I did not want to change this decision. The head concerned wished to continue with the programme on an individual basis meeting me in school hours for advice and guidance. It is relevant to note that her problem in attending meetings after school hours was due to a work stress related illness of her husband who was also a

primary head. She needed to spend as much time as possible at home supporting him. In my role as advisor I was able to reassure her and agree to the suggestion of individual meetings in school time. In my role as researcher I was disappointed that the group had been reduced to five headteachers.

The fourth meeting held in December 1995 was again attended by four of the heads and after a brief report from each person a more general discussion took place about their lack of progress to date. They decided that they had selected an ineffective way of working through the management standards. They agreed that they should all work on the same units and, as a result, the group meetings would be more focused and they could discuss issues with each other between meetings. There was agreement that in the new year the meetings would target particular units for discussion. This was an interesting decision as some of the earlier pilot studies of competence approaches to school management stress the importance of teachers choosing their own starting point and planning their own routine at their own pace (Dudley, 1992). It was also decided that they would help in a translation document of the management standards into 'school speak'.

The January 1996 meeting involved an examination of 'managing finance' units and the head who had begun working on these units provided relevant and helpful suggestions to facilitate evidence collection. This approach has been replicated throughout the subsequent meetings; units have been discussed in turn and the heads who had started working on the particular unit provided a useful lead. The meetings continued in this manner until October 1996 when the final key role of 'managing information' was discussed. The heads liked this approach and as a result of their discussions in the meetings a translation of the management standards into a more user-friendly language for primary headteachers was developed. This document could be useful for any primary head in the future who wishes to pursue this route to qualification in management and is contained in Appendix Three.

***Researcher's reflections of the group meetings***

Notes were taken during and immediately after the meetings and a number of themes emerged from the discussions; these themes can be organised around the following three meta-themes, concerns about the MCI management standards, the benefits from group work and learning together and the role of the primary headteacher. Each of these meta-themes are analysed in more detail below.

***The MCI management standards***

There were five areas of concern regarding the management standards; there were concerns about the language of the standards, the problems regarding evidence collection, favouring the organised manager, the time and cost of this type of management development and rational decision making is encouraged. Each of these points will be examined in turn.

The language of the management standards initially presented a barrier for the heads and this problem has been noted in many of the studies using the management standards for the heads and senior staff in schools (Jagger 1992, Esp 1993). Although it has been argued that since 1992/3 heads are more and more accepting of management as a key part of their role, the language of the standards still remains problematic. This issue of language is important as initially the heads found some of the performance indicators impenetrable. A particular problem of translation arose for the heads in trying to apply the performance indicators from the key role 'managing operations' to their work. They had difficulty in deciding what were the services, products and systems in education.. Once the heads had contextualised the language they subsequently found no difficulty in applying the standards to their work or supplying evidence against all the performance indicators. MCI (1992) recommend that where the language of the generic management standards was unsuitable it would be helpful to produce "a commentary explaining what the language means in the context of a sector, rather than by making changes to wording within the Units". With the help of the group a commentary was produced whereby each

performance indicator was considered and a translation is offered as to what this means for schools and examples are given of suitable forms of evidence. For example unit 3.2 'Monitor and control activities against budget' contained within the key role 'managing finance' has been translated as :

| 3.2 Monitor and control activities against budget | What this means for schools | Forms of evidence |
|---|---|---|
| a) Expenditure is within agreed limits, does not compromise future spending requirements and conforms to the organisation's policy and procedures. | Explanation of budget and LMS arrangements | the budget |
| b) Requests for expenditure outside the manager's responsibility are referred promptly to the appropriate people. | Liaison with school support officer and LEA e.g. major building works expenditure | letters to SSO and LEA, details of major works undertaken |
| c) Where necessary, expenditure is phased in accordance with a planned time scale. | Outline the three year development plan with detailed first year plans | the three year budget for your school |
| d) Actual income and expenditure is checked against agreed budgets at regular, appropriate interval. | Information obtained from the SSO, details of the SIMS soft ware package | monthly printout from the SSO, details of the three monthly meeting with the SSO, SIMS software |
| e) Where a budget under or overspend is likely to occur, the appropriate people are informed with minimum delay. | Any overspend is reported to staff and governors | minutes of staff meetings. minutes of governing body meetings |
| f) Prompt, corrective action is taken where necessary in response to actual or potential significant deviations from budget. | Money is saved in a variety of ways - in order to reduce capitation the head goes into the classroom, supplies are cut, money is raised by school fund-raising activities, reduction of training | capitation budget, arrangements for absence cover, supplies data, school fund budget, in-service budget |
| g) Any necessary authority for changes in allocation between budget heads is obtained in advance of requirement. | Virement of budget, details on how the budget is delegated | examples of virement |
| h) Any modifications to agreed budgets during the accounting period are consistent with agreed guidelines and authorised. | Examples of when budgets have been modified | school development plan |

This commentary is given for all the performance indicators and will be a useful document for primary heads in the future who start this process. It was also a useful learning opportunity for the experienced heads in the group as they challenged each other on issues arising from the standards and in contextualising the standards they were at the same time examining their own perceptions of their professional practice. This document which contextualises the management standards into more appropriate language for primary heads is contained in full in Appendix three.

Eraut (1994) advocates this translation of the standards as a valuable development activity, he asserts "New concepts and ideas brought into these contexts have to be transformed in order to become useable in contextually appropriate ways; and this transformation can also be viewed as a form of learning which develops the personal base of the professional concerned" (p.20).

In working with managers of small businesses I had previously discovered that they found it problematic to collect sufficient written evidence as much of what they do is not recorded; I had expected a similar problem to emerge for the primary heads from small schools, namely that there would be less written documentary evidence available as much of the day-to-day activities would be oral interactions. These expectations were not supported in the research; in most instances there was written evidence. Increasingly the primary heads were being encouraged to produce documents e.g. policy statements, minutes of staff meetings, minutes of governors meetings, returns to the LEA etc. and the heads found little difficulty in supplying evidence against each of the performance indicators.

It become evident during the group meetings that there was a wide variation in practice between the heads with regard to keeping records and careful administrative procedures. Two of the heads were careful and meticulous in record keeping and had devised information systems for use in their schools. The competence approach places an

emphasis on the collection of written evidence which suited the more administratively organised head. The heads with less organised systems took a lot longer to find the supporting evidence to substantiate their competence even though they assured me that they had undertaken the performance requirement detailed in the management standards. The point that the competence approach "appears to favour the organised and documented managerial approach over the intuitive and may well work in favour of those with well ordered filing cabinets" was noted in the Manchester Polytechnic study (1991). Although this disadvantaged some of the heads initially, the necessity to collect evidence in a portfolio forced them into keeping more organised records and by default they improved. It is recognised however that the process favours the more meticulous manager.

Past pilot studies applying the *management standards* to the head's work have commented on the cost-effectiveness of this type of approach when matched against the costs of more traditional courses (Esp, 1993). This was not the case in this instance; the programme proved to be time consuming; there were thirteen group meetings each meeting being at least two hours duration plus additional individual advisory meetings and subsequently the individual assessment interviews. This is an expensive process when one takes into account the costs of advising, portfolio preparation and assessment. The costs of working with standards both in terms of time and money was also noted by Earley (1993). Similarly the West Midlands project (1991) indicated that one of the main impediments to its success was lack of time. A key to the success of the programme was as a result of the regularity and frequency of meetings and many of the benefits the heads gained from the programme were as a result of the interactions during the group meetings. It is significant that the two heads who attended the least number of meetings made little progress on evidence collection. The support that is required should not be underestimated in costs but likewise should not be undervalued as a vehicle for management development.

The evidence produced in the portfolios tends to suggest a rational decision making by the heads; yet rational decision making does not adequately describe all the process of decision making within schools. Mangham (1979 : 17) emphasises this view "Decisions and actions within organisations may be seen as the consequence of the pulling and hauling that is politics..... In short, I am claiming that all behaviour at all levels and in all circumstances may be regarded as political".

There is a tendency in the management examples provided by the heads in their portfolios for them to describe incidents rationally and not examine the micro-politics of the examples.

***Group work and learning together***

The second meta-theme centred on the value of the group work as a vehicle for professional development. The group work enabled the heads to reflect, share good practice, share problems, provide therapy and support and build confidence. The heads possessed knowledge about education management, some of it had been gained in a formal learning situation, such as short courses and conferences but most of it had been gained through experience. Some of this experiential learning had been reflected on but for the most part it was being reflected on for the first time in the group work. Eraut (1994) discusses this "Such unorganised experiential knowledge gets drawn upon without people even realising that they are using it. It is built into people's habits, procedures, decision making and ways of thinking, without ever being scrutinised and brought under critical control" (p. 75). The group work provided the opportunity for the heads to scrutinise aspects of their management and educational practice. The experience of spending time discussing their role and reflecting on how this could be applied to the standards provided a useful development opportunity; they were reflecting on-action. It was important that reflection took place as this raised the task from what might be seen by some heads as a paper collecting exercise. The sharing and cross fertilisation of ideas was an important feature of the group's discussions. Ecclestone (1995) warns that, "Reflection can remove all discussions of educational values and moral dimensions and

be no more than a narrow and technical evaluation of whether prescribes competence and performance criteria have been met" (p.125).

In this group Ecclestone's concerns were not founded; the group reflected on their practice within the framework of their educational values. For example, they discussed at length their budgets and how they could retain staff for the benefit of the children. Their approach was not simply a cost benefit bottom line approach; they recognised that they had financial targets but within these targets decisions were based on their educational professional values.

The group meetings provided an opportunity for the heads to reflect on their role and many of the discussions were much wider in content than just a discussion of the management standards. They began to share ideas of good practice with each other. This process began in the second meeting when one of the heads brought in as evidence, sheets she had devised for teacher monitoring. The other heads were impressed with the monitoring sheets and photocopies were provided for use by all the heads. Again in the December meeting one of the heads described a teaching pack he had purchased for the school; two of the heads examined the resources and decided to purchase the pack for shared usage in their two schools. Another example of this increased collaboration occurred as a result of a discussion on staff development and 'inset' arrangements. The heads decided to get together and save money by organising a cluster staff development exercise, sharing the expense of staff development providers.

During every meeting the heads spent some time sharing the problems they were experiencing at that time. An example of this sharing of problems was during the time the SATs results were published and one of the heads was disappointed with the results for her school. She discussed this in the group and the other heads were supportive and helpful, suggesting reasons for the results and how they may be improved. Subsequently the head and the key stage 2 teacher visited two of the other heads' schools to examine the ways in which these schools had approached the SATs. As a result of this

examination she has introduced changes in her school e.g. ensuring that the children are familiarised with test conditions so they will not under perform because of unfamiliarity with procedures.

The heads provided enormous support to each other and this went beyond the sharing of problems; they counselled each other during the many crises that each one experienced during the year. The most striking example of this was the support given to one of the heads when he was experiencing great problems with two of his governors and these problems were affecting the head's health. These problems were discussed at length in the group meeting and support continued to be offered outside of the meetings. This therapeutic, supporting function of the group was a very positive feature - an arena for the heads to unload problems; and as their trust in each other grew so this supportive feature gained prominence.

The literature review reveals that the teaching profession has been seen by the teachers to have been devalued by particular government interventions and by society in general; this comparison with other managers appeared to be confidence building for the heads in the group at a time when morale in the teaching profession was commonly thought to be decreasing. The heads seemed pleased to be able to match aspects of their work to the management standards.

***The role of the primary headteacher***

The third meta-theme centred on the role of the primary headteacher and this was divided into two themes; one was an increase in management activities and the second was that they felt the list of management competences missed out aspects of their work.

There was no question at all that the heads recognised that an increasing proportion of their time was taken up by management activities; they managed many changes taking place in education and many of the changes had reinforced their role as a manager. It could be argued that as the heads had volunteered for this programme they already

perceived themselves as managers and conversely those heads who did not volunteer placed less emphasis on management activities and did not perceive themselves as managers; the interviews with twelve heads detailed in chapter five analyses this issue in detail. Although they saw an increase in management activities, there was an underlying tension in trying to undertake all the management activities in addition to leading on curriculum issues and those other activities traditionally associated with headteaching. They found it increasingly difficult to undertake both the managerial and the leading professional roles. This conflict supports Hellawell's (1991) research findings that :

"There is, then little doubt that the heads in this sample felt under increasing pressure and that the main thrust of this pressure was, as they perceived it, to turn them more towards administration and management and less towards teaching" (Hellawell, 1991:326).

Southworth (1995) also noted this dilemma in his research of primary heads.

It was very clear from the discussions in the group meetings that much of their work especially on a *day to day basis was managerial.*

It became evident from listening to the heads discussions in the group work sessions that the standards do not contain all of what a headteacher does; indeed much of the missing data is difficult to define and assess e.g. creating a vision, initiative, creativity and flair. Burgoyne (1989) identifies the meta-competences as being able to learn, change, adapt, forecast, anticipate and create change, all of these meta-competences are important to the role of the primary head yet can only be inferred from the MCI *management* competences. The MCI standards if defined strictly apply only to the management of other adults; yet the discussions in the group regularly focused on classroom management and more generally the management of children. This was accommodated in the key role managing operations whereby managing operations was interpreted in part as managing the teaching and learning process. Esp (1993) argues that the pupils and their learning have to be included: "Any competence model of schools has to cope with this special feature of their work" (Esp, 1993:127). Headteachers need competence

in management plus the ability to apply these competences appropriately and it is in the application that the competences of the head are revealed.

The management competences contained in the management standards include leadership as part of a manager's role and this is assessed through meeting the performance indicators detailed in Unit 6, developing teams, individuals and self to enhance performance; Unit 7, plan, allocate and evaluate work carried out by teams, individuals and self; Unit 8, create, maintain and enhance effective working relationships; Unit 10.1, lead meetings and group discussions to solve problems and make decisions and personal competence model 3.1, showing self confidence and personal drive. Nowhere in the list of leadership competences is a mention of vision, values or strategic planning.

There is evidence from the discussions within the group meetings and from the management portfolios that the primary heads were able to match their experiences and competences to the generic management standards. There were other aspects of the heads' work which seemed to be more occupationally sector specific, that is applicable particularly to the education sector. For example in primary education there are issues centred on learning, caring and a focus on the needs of the children. There also may be competences which are organisational or individual specific. The heads in the group all worked in an area of high unemployment and with a high level of social deprivation amongst many of their pupils. It would be necessary to replicate this research with primary heads from schools in affluent areas to discover if there are different competences required. More work needs to be undertaken on the context within which heads work and also to consider the wider cultural constraints. Jirasinghe and Lyons (1995) offer a framework for viewing competences which is applicable to the results of this research. They suggest that there are generic management competences, occupational specific competences and individual and/or organisational specific competences. Although in the group there were some examples of both organisational and individual competences, overall there were more similarities than differences

between the management competences of the primary headteachers in the study group. This is revealed in the sorts of evidence they proposed in order to meet the requirements of the management standards; there was a great deal of consensus of opinion.

The results from this group's work supports the position that there are key processes of management that are similar across a variety of contexts. These generic management competences should be part of the headteacher's repertoire of competence. The demands for greater accountability, managing the budget, value for money and clearer performance indicators have forced heads to pay more attention to management issues; heads need to be competent in management.

The MCI standards offered a focus for the meetings with the primary heads, provided a benchmark for the accreditation of the heads' experiences and offered an opportunity for further development and improvement. The group meetings provided a forum for reflection and support. This approach encouraged the heads to reflect on their work and corresponds to Bines' 'Post-technocratic Model'(1992) which emphasises professional competences which are developed through experience and reflection of that experience. Schon's ideas of reflection on-action (1987) is also a relevant model to describe what was happening to the heads in the group meetings. They had an opportunity to analyse their everyday work and provide insights into their job performance. Although initially the heads viewed the main purpose of the standards as validating retrospectively their management competence, there were many examples of critical reflection of practice and as a result they refined and improved future practice. Mapping their experiences *and* contextualising the standards facilitated the heads in re-examining their role. Examples of ways in which they improved their practice are given earlier; in summary the heads reconsidered improvements in how they monitor staff, how they select staff, their relationship with the governing body and the appraisal process. Earley (1993) highlights the fact that the process, that is the group meetings (Earley refers to these as action learning sets) may be of greater significance than the standards themselves. This research endorses this view as there were many gains from the group meetings many of which

were outside the remit of the explicit purpose of the meetings. It may well be that the benefits of collaborative group work (heads meeting regularly to reflect on their practice) outweighs the benefits of working through the standards. However, there needs to be a focus for meetings and the management standards provided a suitable focus.

The standards offer for new or aspiring heads a toolkit of practical management skills a head needs to manage his or her school. It also provides the opportunity for more experienced heads to reflect on practice and to identify any gaps in their management skills.

The question of whether or not greater benefits would result from using sector specific standards still remains. There were some advantages from using the MCI standards; there was an option for transferability from schools to managerial work in other sectors. In practice this option of transfer was unlikely to be taken up as all the heads had more than twenty years of service in education and saw their work until retirement to be in schools. Nonetheless they found the comparisons with managers in other sectors as enhancing their status. Also there was the advantage of accreditation; on successful completion and assessment of their portfolio they gained NVQ level 5 and advanced standing onto the MBA degree. Also their work in the group on transforming and contextualising the management standards provided a valuable learning opportunity. As a result of the group work it has been possible to outline a 'management toolkit' that is derived from the standards but can be applied to the school context.

***'A Management Toolkit' for Primary Heads***

Each of the key roles identified in the MCI standards will be analysed in relation to the heads' roles. The analysis will be helpful in developing a management toolkit for heads.

***Managing Finance***

There is no doubt that prior to LMS providing evidence for the key role of managing finance would have been difficult as the LEA controlled the financial aspects of the

schools. The primary head in 1996/7 has no such difficulties. The major problem facing the head in the key role of managing finance was the uncertainty of the budget, as this was based almost entirely on pupil numbers. In small schools the sudden departure of a family with three children of primary age could result in the school losing a teacher as the budget is based on a very tight formula of pupil numbers. Despite this level of uncertainty which affected the longer term planning process, there were key skills that a head needs in managing the finances of the school. These include :

- Knowing how to interpret the budget, including the capitation budget, the school fund budget and the in-service training budget.
- Cost control - putting in place a monitoring of costs, for example costs for water, electricity, telephone and photocopying. There is also the need to consider costings for staff absence and the effective use of supply cover.
- Awareness of appropriate and available computer financial packages for example the SIMS computer package and being able to interpret the data provided.
- Having the knowledge and ability to undertake virement of budgets.
- Preparing the three year budget forecasts.
- Understanding the roles of the governing body, the SSO and the LEA in the management of finances.
- Negotiating and effective use of tendering procedures.
- Setting up accurate financial record keeping systems.
- Prepare a three month audit.
- Fund raising to supplement the budget.
- Awareness of unpredictable factors in the external environment that impinge on the school's budget e.g. the demand from parents that extra security fencing be purchased as a result of the Dunblane tragedy.

*Managing People*

Managing People plays an important part of most managers' work and this was also the case for heads as they manage a range of people including teachers, parents, children,

governors, support staff, the school secretary, support agencies and the LEA. The people skills required include, negotiating, team working, recruitment and selection, appraising, interview skills, chairing meetings, influencing, motivating, counselling, leading and problem solving. The heads would have explored in the initial teacher training programme aspects of educational psychology and child psychology; they would not have been exposed to occupational psychology or human resource management, which would have included much of the skills noted above. Also in the interviews a number of the heads discussed their lack of training in dealing with adults as all of their formal training to date had been centred on children.

The key role of managing people was the easiest for the heads to relate to; since LMS they were all experienced in the processes of recruitment and selection. Since the introduction of the National Curriculum (NC) they had been very involved with the development of their staff and themselves in the new curriculum. They were all used to the planning process and were obliged to produce school development plans which contained in part human resource planning. The importance of the team is highlighted in small schools and the heads all meet frequently with their staff. The NC also encourages a more collaborative approach between staff and the head played a major part in maintaining effective team working. In addition it was easier for the heads to detect staff problems and to monitor staff by 'managing by wandering around'. Heads need to know how to :

- Recruit staff including the writing of job advertisements, job descriptions and employee specifications.
- Select staff - interviewing skills, working with the governors as part of group selection, considering the appropriate methods of selection for teaching and non-teaching staff.
- Awareness of the employment law e.g. equal opportunities, race relations.
- Human resource planning, defining future personnel requirements within budget.
- Developing teams

- Building trust and support.
- Chairing meetings e.g. staff meetings, parents meetings.
- Preparing a staff development plan / inset plans.
- Appraisal interviews and the appraisal process.
- Disciplinary and grievance procedures.
- Counselling skills
- Conflict resolution
- Providing feedback to staff, governors, parents etc.
- Provide clear aims for staff and the school.
- Update objectives.

*Managing Information*

Information was provided by the head to a range of stakeholders, parents, teachers, children, governors, LEA etc. in a variety of ways. The head needs to know how to:

- Write a school development plan
- Undertake staff audits
- Prepare newsletters to parents.
- Forecast trends, especially with regard to pupil numbers.
- Manage information for the nursery voucher scheme.
- Chair and be a member of meetings with staff, governing body, parents, cluster groups, inset groups, support agencies.
- Contribute effectively on other committees to further the image of the school.
- Know about and assess the impact of technology on whole school policies and the management of information in the school.
- Record information accurately and effectively.
- Prepare Head teacher's report for governors.
- Prepare Headteacher's reports to external agencies e.g. social services.
- Provide clear aims for the school

- Update objectives
- Keep log book up to date.

*Managing Operations*

The key role of managing operations proved to be the most difficult area for the heads to interpret the language of the standards against the operations within the school. The heads translated the language of business, services, products and systems to the context of the school, teaching and children. Thus for the unit 'Identify opportunities for improvements in services, products and systems', the heads reflected on their role and provided as evidence changes to improve the effectiveness and efficiency of the school. Much of what a heads does within the key role of managing operations is to manage change processes. The head undertakes a wide range of operational activities from the trivial to core activities. Thus to manage the operations of a school a head needs to know how to:

- Seek information on appropriate teaching materials.
- Put forward new initiatives to a variety of groups.
- Organise inset programmes.
- Prepare a school audit of inset needs.
- Monitor staff.
- Design and implement staff evaluation forms.
- Overcome resistance to change.
- Undertake school development planning.
- Prepare policy statements.
- Organise transition to secondary schools.
- Organise SATS and analyse results.
- Manage changes to schemes of work.
- Update IT provision.
- Change the format of the school day
- Negotiate changes with a variety of stakeholders.
- Evaluate of change.

- Manage changes in personnel.
- Rotate staff to teach different age groups.
- Ensure parents (customers) are informed of changes through newsletters, school brochures, minutes of meetings etc.
- Manage the implementation of the NC.
- Oversee teachers' plans to deliver the NC.
- Allocate resources to support the NC.
- Keep accurate records for NC results, children's profile sheets.
- Provide feedback mechanisms for staff, parents and governors.
- Audit resources.
- Ensure there are sufficient physical resources such as books, paper, art materials, computers etc.
- Set up maintenance arrangements for equipment.
- Update equipment and in particular IT equipment.
- Ensure that report mechanisms are in place for reporting of accidents.
- Improve the school environment.
- Improve the classroom environment.

From the results of the group work, it is argued that the management standards provide an appropriate framework for aspects of the role of the head. Management concepts, techniques, skills and processes i.e. the 'management toolkit' can be applied to education. It is argued more strongly that without effective management skills, without management development, without the toolkit, the head of a primary school and his or her key stakeholders will be significantly disadvantaged into the millennium. The constant changes that are forced upon schools are putting pressure on school management. The Education Acts of 1988 and 1993 highlight the need for heads to be good managers. In July 1996 the Government issued a White Paper "A Bright Future: more self-government for schools in Wales"( Welsh Office, 1996) which sets out extensive proposals for further reform of the school system. There is little doubt that the changes proposed further increases the management aspects of the head's work. The

White Paper proposes to extend the Local Management of Schools by increasing the level of delegation of the budget to schools to 95% as soon as possible; to increase the devolvement of GEST grants to schools and to limit the role of the LEA. There is little doubt from these proposals that the Government is continuing to increase the management focus of the head's work. It is in this climate of change to managerialism that the competence approach can help heads manage their schools appropriately. Competence based approaches may be a suitable vehicle whereby school managers are developed and as a result schools are improved.

The results of this part of the research requires further investigation into the role of the primary head. Management competences are a useful aid to developing the management role of heads but the generic management competences account for only part of the head's role. The next stage in the research involves in-depth qualitative interviews with experienced primary heads to discover more about their work and experiences as heads, to provide a more holistic view of primary headship and to distil further their professional and managerial development needs.

# *Chapter 5*

## Analysis of Interviews

The literature review and results from the group work indicate a major change in the role of the head. The purpose of the interviews was to explore in-depth the heads' perceptions of their roles and for a grounded theory of primary headship to emerge. Given the paucity of recent research into primary headship the few studies that are available (for example Southworth 1995, Webb 1994, Laws and Dennison 1990) and the results gathered from the analysis of the work of the group, it is clear that primary headship in the 1990s is a multifaceted role. The *analysis of the interviews aims to* expand the research on primary headship and in particular builds on Southworth's work (1995) on experienced primary heads. Like Southworth I do not claim typicality from the findings as the results that emerge are from a group of experienced heads working in a deprived area. Research on new heads or heads from a middle class area might highlight different issues.

The interviews focus on aspects of the heads' roles and the heads' perceptions of how the job has changed. The questions (detailed in appendix two) are summarised into three themes:

***Theme one:*** Characteristics of a primary head in 1996.

***Theme two:*** Changes in the nature of headship especially since the Education Reform Act 1988.

***Theme three:*** Development needs for new heads and prospective heads.

A semi-structured interview schedule with open-ended questions was used but inevitably with this style of interview some of the heads paid more attention and spoke longer on some issues than others. In addition new topics were introduced which have been

included in the analysis (for example deputy heads not applying for headships). I interviewed each head individually and each interview lasted between two and three hours. Interviews were held either in the head's school (this was the case for nine of the twelve interviews); or in the head's home (this was the case for three of the interviews). All interviews were taped and transcribed. The interviews were conducted between June 1996 and November 1996.

The sample of primary heads are all known to me; all come from the same L.E.A. and all the schools are located within a fifteen mile radius. The schools of the heads in the second group were matched as far as possible to the schools of the heads in the initial group; as a result there were no heads from infant schools and no heads from Grant Maintained (GM) schools as there are no GM schools in this L.E.A.

***Table One :*** ***Time in post, gender and qualifications***

| Heads male (M) or female (F) | Number of years as head | Number of years as deputy head | Number of years as class teacher | Number of headships | Initial qualification | In-service qualification |
|---|---|---|---|---|---|---|
| H1 M | 9 | 4 | 14 | 1 | Teachers cert | B.Ed |
| H2 M | 8 | 4 | 16 | 1 | Teachers cert | B.Ed, M.Ed |
| H3 F | 7 | 1yr 3m | 18 | 1 | Teachers cert | |
| H4 F | 12 | 6 m | 16 | 1 | Teachers cert | |
| H5 F | 6 | 2 | 12 | 1 | Teachers cert | |
| H6 M | 13 | 2yrs 6 m | 13 | 2 | Teachers cert | |
| H7 M | 18 | 2 | 6 | 2 | Teachers cert | |
| H8 M | 16 | 3 | 12 | 2 | Teachers cert | |
| H9 F | 5 | 1yr 2 m | 18 | 1 | Teachers cert | |
| H10 M | 8 | 5 | 13 | 1 | Teachers cert | |
| H11 F | 8 | 3 | 14 | 1 | Teachers cert | |
| H12 M | 9 | 5 | 14 | 1 | Teachers cert | |

*Table Two* : ***Details of the heads' schools***

| Heads | Teaching head | School type | Number on roll 1996 | Number of teachers | Age of school buildings | Special classes |
|---|---|---|---|---|---|---|
| H1 M | no | primary | 230 | 8 | 6 | no |
| H2 M | no | primary | 200 | 7 | 100 | no |
| H3 F | yes | primary | 100 | 3.5 | 120 | no |
| H4 F | yes | primary | 154 | 8 | 100 | 2 |
| H5 F | no | junior | 175 | 6 | 19 | no |
| H6 M | no | junior | 175 | 10 | 26 | 3 |
| H7 M | yes | primary | 220 | 7 | 130 | no |
| H8 M | no | primary | 298 | 12 | 100 | no |
| H9 F | no | primary | 253 | 9 | 114 | 1 |
| H10 M | no | primary | 220 | 8 | 104 | no |
| H11 F | no | junior | 182 | 6.5 | 120 | no |
| H12 M | no | junior | 250 | 8 | 25 | no |

**Theme one : Characteristics of primary heads in 1996 / 97**

The heads were asked what they found satisfying about their jobs and what they found dissatisfying. There is clear evidence from the interviews that the job of primary head is a mixture of satisfiers and dissatisfiers and the balance between the two varies for different heads. There was far more agreement between their responses on what satisfies them at work than on what dissatisfies them.

*Satisfiers*

When the heads were asked directly what they liked and found satisfying about their jobs, the clear answer was ***children***. The heads in the research all liked being with the children and took opportunities to involve themselves with the children. This supports

the findings of Southworth (1995) "There was one over overwhelming reason for these heads' sense of satisfaction - it was being with the children" (p.24).
The responses from the heads were consistent, for example:

"The most rewarding part of the job is the children, having good quality time with the kids" (H6).

"Most rewarding of all I have children sent to me for good work and it's praising the children and talking to them I like and find most rewarding" (H2).

"I like seeing the children achieve, academic achievement and sporting achievement" (H1).

"I do enjoy working with children, that's genuine" (H12).

"I love working with children, I love the one to one, being with children" (H11).
All of the heads mentioned work with the children as the most satisfying part of their work. Nias (1988) produced similar results from her study of primary teachers, she claimed "overwhelmingly, they liked children" (p.86).

Other sources of satisfaction included being involved in new initiatives (H1) and the managing of the business, e.g. "I love the business side of the work" (H11). The managing of staff was mentioned by one of the heads. "Managing the staff to make things happen, that sort of influence in what's going to happen is rewarding particularly over a period of time you see things changing for the better" (H3).

*Dissatisfiers*

When the heads were asked about the causes of dissatisfaction there were some common themes but there was far more diversity in the answers when compared with the sources of satisfaction. One main sources of dissatisfaction was concerned with aspects of the

job itself, namely the pace of change, excessive paperwork, finance, teaching and interruptions. The second source of dissatisfaction concerned social factors, dealing with people namely the lack of control over such people as teachers, parents and governors.

*The job itself*

One common source of dissatisfaction was the amount of change and the pace of change they had experienced in the last few years;

"Over the last five years the sort of pace of change has accelerated to the extent we couldn't keep up with it" (H8).

"What has frustrated me are the masses of changes in the last six or seven years, a lot of it has been unnecessary" (H11).

Three of the heads disliked the volume of paperwork and unnecessary administration;
"Unnecessary admin., I see a lot of it and I must be honest its totally unnecessary and getting in the way" (H7).

"Administration, paperwork; you seem to get bombarded with filling in different questionnaires" (H2).

Three of the heads complained about the new financial requirements that have been imposed upon them and the precarious nature of staff pupil ratio impacting on funding:
"I dislike continually having to balance the books" (H1).

The response from two of the heads was that they found teaching a source of dissatisfaction; this may appear to contradict the fact that they liked being with the children, but there is no contradiction. They disliked being teaching heads and having to cope with the two roles of teacher and head. They had taken great pride in their teaching

ability and now felt they were not performing the teacher part of their as well as they ought. This point is illuminated by the response from H3;

"I really dislike teaching now, I find, because teaching is a full time job and I have to accept responsibility for a class I am not able to plan for it properly. I find that very unrewarding and frustrating. Headship is a full time job and so is teaching".

The other head disliked having to fill in as supply cover for absent teachers.

A non-teaching head also complained about having to fill in for absent teachers

"I don't like being a supply teacher... I like teaching and having my own group but not filling in". She goes on to complain how she hates the phone ringing on a Sunday evening because she fears it will be reporting a teacher's absence; "I hate Sunday evenings all the phone calls that I get ... when the phone rings I say please God don't let it be for me" (H5).

Blease and Lever (1992) reveal this problem in their research; headteachers were agreed that providing emergency cover for absent teachers was extremely disruptive.

Most of the heads discussed the problems that are inherent in most management jobs (Mintzberg, 1973) concerning interruptions and having to be *reactive; this is graphically* described by Head 2: "What I find worse about the job at the moment is the continuous interruptions all day long. You can't settle down to do anything in school because there are so many interruptions during the day between people phoning, people calling, parents calling, governors calling, teachers wanting to speak to me, non-teaching staff, somebody has always got a problem" (H2).

*Social Factors*

There were comments from six of the heads about parents; they perceived an increase in parents complaining and becoming more demanding:

"I don't like it when people come complaining dealing with awkward parents...dealing with parents who have different values from me" (H4).

"If I go back over the last two years in particular the part of the job I don't like is the confrontational issues with parents" (H1).

Having to rely on others and the lack of direct control over the children's learning was also mentioned by four of the heads; they complained about having to rely on teachers and the LEA staff and in particular they complained about personnel and construction departments:

"Relying on other people for doing things, I don't feel I have any job satisfaction because I have to rely on other people" (H2).

"I am becoming less and less patient with people or departments that are incompetent" (H1).

"I liked organising the children and the curriculum and at the end of the day I got positive feedback when I achieved things , now I depend on the teachers I don't end up executing any of it. I'm checking that somebody else does it" (H4).

"My main frustration is with the staff who I call the divine right of bloody teachers..... teachers who think schools are run for the benefit of teachers and not for the benefit of the kids" (H6).

These results do not conform exactly to Herzberg's (1966) two factor theory of motivation (1966) and as Nias (1988) stresses "Herzberg's hypothesis cannot be applied uncritically to primary schools" (p.132). However by separating the sources of satisfaction from the sources of dissatisfaction some interesting results emerge. Most significantly the continuing importance of children to the job satisfaction of the head is highlighted; there was a unanimous response from the heads on this factor. Secondly the dissatisfiers emerge from the contextual and aspects of the job itself; there were a more varied response from the heads in identifying sources of dissatisfaction.

*The biggest problem facing their school*

When the heads were asked about the biggest problem facing their school a range of problems were identified but the problem highlighted most frequently was the financial problem. Although finance was only identified as a source of dissatisfaction by three of the heads the cause of their dissatisfaction was due to having to manage the finances; when it was identified as a major problem by eleven of the heads their concerns were due to a lack of finances and not the management of finances. Examples of their concerns are:

"The biggest problem facing my school and probably several other schools is one of decreasing finances" (H1).

"Lack of money, everyone's job could be more successful with just a little more money and that's sad" (H3).

"We have financial problems.....because we are over-staffed and the numbers are dropping" (H2).

"Finance; with finance, there was no problems in education, the less finance you have the bigger the problems become" (H12).

Some of the other answers are context specific, reflecting particular problems facing particular schools. For example H6 identifies problem families as his biggest concern; this should be analysed within the context of his school. The school serves a large council estate which is described by the head as "an underclass.... an under-privileged class with 80% of the children receiving free meals. There is not an abundance of good role models for the kids in this community".

Similarly H9 had been appointed to raise standards in a failing school; not surprisingly she identifies raising standards as the biggest problem she faces. "Raising standards... telling teachers to raise their expectations. We went from a failing school to a nice average school... but now I want to go on".

In addition two of the teaching heads mentioned the time they spend teaching as a problem and one head mentioned the problem of time more generally in trying to fit in all aspects of the National Curriculum.

One of the heads, H7, mentioned legislation as the biggest problem:
"The biggest problem facing every primary school at the moment is education by legislation. Legislation has been so great ..schools are suffering from a lack of morale and people are getting depressed and want to get out".

It was interesting to note that the link between sources of job dissatisfaction and problems for the heads was a weak link and there was more agreement in the answers on problems than there was in the answers on sources of dissatisfaction.

*Gender Differences*

None of the heads mentioned gender as a source of difficulty yet gender was raised as a constraint causing addition difficulties for two of the female heads. Gender issues did not emerge until the interview with H5; this was the second female to be interviewed. Subsequently in all the remaining interviews with women heads they were asked whether they found it more difficult as a female head and the researcher returned to the first woman interviewed in order to pose this question. The differences between women and men were not the focus of the dissertation, nevertheless it is important that any differences are recorded.

Three of the five women heads were against identifying themselves as disadvantaged because they were women; this is typical of previous research on women heads and women managers (Hall, 1996; Marshall, 1984). Two of the women heads had experienced difficulties which they attributed to gender. H5 felt she had the problem of not being recognised as the head because she was a woman :
"I've had some who try it on because you are a woman and they think you'll give in. If we were all in the staff room at playtime and somebody walked in ...they'd go first to

PW thinking that he's the head because he's big and he's a man..... we often laugh about this; I'm not particularly big and I don't think I've got that kind of charisma.....I'm a quiet person and I think that has been the cause of some of my problems. Some of the staff will try it on and Land and Buildings (LEA department) tend to think that because you are a woman you don't understand the structural problems".

Similarly H4 felt that it was more difficult being a woman head and these difficulties increased if you were a young woman head :
"I'm not a fighter, I was brought up to be very much a lady and now I am dealing with people with different values to me. When I came here an advisor for drama she said to me you wouldn't have any trouble if you were a man or if you had white hair. People treat women differently; in built in men is this superiority business and they dismiss you saying she's only a bloody woman anyway".

The other three women heads were adamant that being a woman made no difference and caused no additional difficulties. For example H 11 talked of the previous male head:
"A previous head wouldn't rattle anybody.. he wouldn't stick his neck out he wanted a quiet life. He thought I was too heavy handed because I wouldn't accept low standards of behaviour. I got respect out there; they say don't mess with her. You have to show them you are tough enough to stand up; I've been called everything under the sun, I've been threatened but I won't back down. It is no more difficult being a woman head, it's personality rather than gender"

Most of the examples the women heads gave where they had experienced problems were from parents challenging their authority. The schools are based in a South Wales mining valley where views still tend to persist of the woman's place is in the home and as a result there may be particular gender problems; all the women heads had faced problems of sexist attitudes and behaviour especially early in their period as a head when they felt they were being tested out. Hall (1996) concluded in her research on women heads that

"Gender was a factor complicating still further the myriad expectations of her in the role" (p.67). The results from this brief analysis tentatively supports Hall's conclusion.

*Long hours and time pressures*

The work of the primary head is characterised by working long hours far in excess of their contract. When the heads were asked about the amount of time they spent on job-related activities the range of answers were from on average nine hours per day to in excess of fourteen hours per day. None of the heads took tea-breaks and most worked through the lunch break either by using the opportunity to be with the children or for getting to know the concerns of the day from the staff. Many of the heads also worked during the week-end and at holiday times.

"Teaching is one of those jobs which your life evolves around. I'm in work at 8 a.m. and I work straight through I don't get a break in the lunch hour and I work until 5.30 p.m. go home and work most evenings from 7 - 9. I don't work at all on a Saturday but come back into school until about 3 p.m. on a Sunday" (H6).

"I aim to be in between 8 and 8.15 and rarely go home before 5 and there's not many evenings that I don't do something. I work about 55 hours per week and I do a lot of work in the holidays" (H5).

"I work nearly every night, around 14 hours per day" (H9).

"I work at least a twelve hour day and sometimes more. I do a lot of the business side of the work in the evenings, a lot of the planning in the evenings. I am always thinking school if I'm honest; my husband tells me it is taking over my life" (H11).

Some of the heads with children felt guilty and resentful about the amount of time they had to spend working; "I work too many hours it takes away from family life and it shouldn't. I'm normally in work at 8.30 have no break and finish at six o'clock. I work on average three nights a week" (H3).

When they were asked why they put in such long hours many of them gave such simplistic answers as 'the job has to be done' and many of the heads talked about the amount of work that they have to do. The only way they could cope with the volume of work was to work extra time. Two of the heads attributed the long hours they put in was as a result of their disorganisation.

Only one of the heads work load approached the contractual agreement but in this case there was a rationale for the reduced hours when compared with the other eleven heads in the sample. This head had unfortunate personal circumstances; her husband who was also a primary head had suffered from job burnout and was unable to return to work. The head needed to go home from school as soon as possible to help nurse her husband. "My home situation has changed drastically this last two years and I have not been able to take things home because of my husband; before that we were both guilty of doing far too much at home".

There was a clear picture of a demanding job and the demands had increased in the last five to six years. Heads were spending long hours in school, attending many evening meetings and then continuing to work whilst at home. Results from the 1994 survey of teachers work loads (Schoolteachers' Review Body) revealed that on average primary heads worked 55.4 hours per week. The hours the heads in this sample work are similar to the survey results.

*Stress*

Many of the heads talked about how stressful the job had become especially in the last few years. The sources of stress included a concern about the financial situation, having to deal with aggressive and confrontational parents, interfering governors, the demands of implementing the National Curriculum, being a woman head, the pace of change and having too much to do. Samples of quotations from the interviews aptly illustrate the depth of feeling about the stressful nature of the job.

*Stress from parents*

"Some people are obnoxious people; one parent is a drug dealer and he comes to school sometimes and bawls and shouts and you don't know what he has taken so you don't know what to expect. I sit and be polite but I'm absorbing things that I can't bat off any more and that becomes a frustration and then becomes a stress. People who worry me are people who come and complain and you talk to them and hope you've diffused the situation but then I'll be awake all night worrying about what's going to happen tomorrow" (H4).

*Stress from change*

"Changes in the last five years, the stress becomes unbearable you didn't know which side to turn, how to cope with them... my generation of heads have been hammered and there are casualties along the way for no great benefit" (H8).

*Stress from work overload*

"The job can wear you into the ground and you are battered and sometimes you go home and think God I must be stupid...one week I had two teachers off work and every time it rained there was water coming in... it wears you down, the sheer nonsense of it all. I've been awake since 4 this morning thinking about what needs to be done" (H5).

"The negative side is the stress factor.....I go home some days totally washed out" (H12).

"I feel drained, exhausted, I don't feel I get much job satisfaction; I got far more when I was in the classroom.....I feel I am being swamped by paperwork and having to rely so much on others" (H2).

Reed (1989) highlighted similar concerns from the heads in his research who were feeling remote from the classroom where their original expertise lay.

Three of the heads had suffered from stress related illness but in all the interviews the demanding nature of the job was emphasised. Many of the heads discussed health problems associated with worrying about the job, symptoms mentioned were the inability to sleep, headaches, tiredness and high blood pressure. Head 12 was unavailable for interview due to a prolonged stress related sickness and high blood pressure and a replacement had to be found. H2 was in the process of applying for early retirement at an early age of 51 years because of job stress.

There were frequent references to stress in the head's work; this supports the general conclusions of Cooper and Kelly (1993) who highlighted the high levels of stress in primary headship and this conclusion was based on evidence gathered in 1987/88; heads in this research all claimed that the job had become more stressful in the last five to six years. Indeed some tentative conclusions from this research suggest that there is even more pressure, demands and stress for the primary head in the mid 1990s.

Cooper and Kelly also emphasise the need for heads to have effective coping strategies to deal with the work pressures. Some of the heads in the research articulated their coping strategies which included escaping to a caravan away from it all, getting immersed in the family, sport and supporting football/rugby teams.

All of the heads emphasised that headship was a different job now from eight to ten years ago. Three of the heads resignedly stated that if they had known then the changes they were now experiencing they would not have applied for the job. Yet despite this gloomy picture of heads suffering from job stress, working excessively long hours, experiencing many different sources of dissatisfaction a positive aspect emerged. At least half of the heads said they were happier as heads than as teachers and the following quotations helps redress the doom and gloom presented so far.

"I find it rewarding; I find it challenging not at all boring; it is better than teaching I would not want to go back into the classroom" (H3).

"I've loved every minute of it; I say it's wonderful because I have 16 years of wonderful experiences to draw on" (H8).

"I think it's the best job in the world and I'd do it for nothing" (H9).

"I actually like and enjoy it...the job stimulates me" (H4).

"If you want the truth, the last eight years have been the most fulfilling time of my career; I enjoy teaching, I loved being in the classroom but I love the management side; I love the challenges" (H11).

Two of the heads felt that as a result of the National Curriculum they might find it difficult to go back to being a class teacher as it was introduced after the time they were last classroom teachers :

"Happier as a head; I don't think I would be such a successful teacher now" (H1).

"We have all got our stresses, we have all got strains but I would rather be a head now than a teacher now" (H12).

*Personal philosophy of education (educational platform) and vision.*

Caldwell and Spinks (1993) define vision as "a mental picture of a preferred future for the school .... this image will be relatively explicit, with mind and word pictures of what students will be engaged in, what their accomplishments will be ....This vision will contain several images...the most important is educational in nature, concerned with outcomes for students" (p.50). Most of the heads articulated their vision for their schools, for example:

"I always try to relate to children that care about one another, being friendly and appreciating that other people have views and whilst we are doing that we are learning how to read and write and we are learning how to do things together" (H2)

"We have a vision statement, a motto ' education is our heritage and our future', like every other school we want to help children, to give them the opportunity to be able to learn the skills and knowledge they need to become useful, caring, responsible members of society, being aware that society is changing as well" (H3).

"To make the child feel good ... my word is trust, that is what I have introduced. No door is locked, no cupboards are locked, no stockrooms are locked; if a child wants something, he will fetch it, I just say if you want to steal something *you can, this is our* school, this is our property, this is our home. My whole ethos, my belief is child centred" (H 12 ).

"There are fundamental truths which are more important than attaining targets and fast results ..... what is important is to get the best out of your children and staff; so the first thing is that the children are treated well, coming to a secure environment where they feel safe and appreciated. People should be treated as equal, Philosophies are far more important at the end of the day than methods of teaching" (H6).

"My vision is quite simple, that we stretch each child to their full potential that we prepare them for their future life in society with a healthy respect for older people, other people's property and a respect for authority generally and a knowledge of right and wrong. I haven't got an elaborate aim, I refuse to write them. I have had the same mission statement since I became a head; I could use all the jargon under the sun but its the parents out there who have to read my mission statement and they have to understand it" (H 11).

"I can remember when I was at college, lecturers used to talk about philosophy of education and I used to think it was the most boring subject in the world and what relevance did it have to the teaching of writing or reading but ..... decisions based on philosophy of how children are learning and what you think education should be, is the most important. Education is about giving the skills and also giving children confidence

to have a go at things. Education isn't about learning mathematics or learning a language its about giving people confidence" (H 4).

**Antecedents to headship - Career Paths**

*Why they became teachers.*

The heads were asked to reflect on their careers and were asked why they became teachers; their answers support the view that occupational choice for many is unplanned and accidental. Only three of the heads, one man and two women, had thought through the decision to become a teacher and in the case of the two women, they had entered teacher training college as mature students after having a family. Indeed both claimed that as a result of raising their own children they became interested in teaching other children. The male H12 claimed that teaching had been a vocation for him, he had an ambition since a child to be a teacher.

In the remainder of the sample the reasons given for entering the teaching profession were unrelated to the job of teaching and based on more basic motivations, for example: "There were three girls to every boy in training college" (H7). Some followed friends to college and others just said it was the done thing within the community: "Because that was one of the few options open to us in those days, probably because of our parents' background in coal mining and parents not wanting us to go underground" (H6).

Overall the picture emerging is one of heads initially not seeing teaching as a vocation; the motivations were more to do with social factors of acceptability and friendship.

*Why they became heads*

All of the difficulties and stresses associated with primary headship begs the question of why they became a head? Their answers were grouped in to three main themes:

- Normal progression

Six of the heads gave this as the reason for applying for headships; this result supports Southworth's (1995) findings that "this particular outlook is a gendered one" as five of the six heads who gave this answer are male.

- Encouraged by others

In contrast and again supporting Southworth (1995), three of the heads, all female, claimed that they had been encouraged to apply for headship by their heads at that time.

- Likes organising

Two of the heads took on headship because they enjoyed organising and developing others.

These reasons for applying for headship could be significant in light of an issue that emerged in the interviews that ten of the twelve heads commented on the fact that their deputies had explicitly stated that they did not want to become heads and would not be applying for headships. Although this issue had not been on the research agenda I decided to explore with the heads the reasons for this phenomenon. The main reasons given were to do with the changing nature of the head's role and the deputy not feeling able to cope with it and taking on the 'hassle' associated with the job for little extra financial reward. For example "She's not interested in becoming a head... when deputies see the nature of the job they think they are not capable of it" (H7). "No my deputy doesn't want a headship; she sees it as a job that is all hassle and she does not want this. It is very demanding" (H6).

There may be a gender issue as ten of the twelve deputies are female and these female deputies were viewed by their heads as not being interested in becoming a head. Of the remaining two male deputies the head felt her deputy would be applying for headships in the future (he had only been in post for two months) and the other male deputy had

applied for headships unsuccessfully but had subsequently become less interested in applying for headships but it was felt that he would probably apply again in the future. There was some evidence from the heads' perceptions that the female deputies could do the job of head but needed a lot of encouragement: "I don't think she wants to go for headship.. she wasn't going to apply for deputy but I persuaded her to apply and she's a very able deputy" (H3).

There was also a lack of confidence expressed by the heads in that the deputies did not know the more managerial aspects of the job, for example "She said no to headship, she wasn't keen on the financial aspects of the job".

When the differentials in salary are not great and the responsibilities are substantial, it is little wonder that many deputies are re-appraising the situation and not applying for headships. This may be a serious problem in the future; although candidates will come forward there may be a reduced number applying and there is some indications that there may be a gender bias as the job of the head becomes more managerial so the traditions of the manager being male may be reinforced. There is also the issue of looking again at the idea that the deputy post is the training ground for headship. This is not the case in this sample, according to the ten heads their deputies will remain deputies to the end of their career. There is some evidence of the deputy taking on the role of organising the curriculum and the head managing, and as a result, the work of the deputy and the work of the head are moving further apart. This issue will explored further in the next section.

From this sample the characteristics of a primary head in 1996 may be summed up in three ways, the job of the primary head is **more accountable, more demanding and more managerial.** The heads all thought that the job now was far more responsible than it used to be. They thought there was far greater accountability since L.M.S. and the introduction of the National Curriculum; accountable to inspectors, advisors, governing bodies and parents. The demanding nature of the job was stressed in every interview and in particular the emotional involvement of dealing with different people, teachers,

parents and governors. The people they felt most comfortable with were the children, who were the only group that they had been trained to interact with. The demanding nature of the job is encapsulated in the words of one of the heads: "It's frightening sometimes, the volume of work and knowing how you've got to do. It is frightening to think of how much you do and how much you want to do and are not given the opportunity to think" (H5). Heads have to respond to different situations as they occur and as Blease and Lever (1992) conclude, "One aspect of the headteacher's skill and expertise is the ability to cope with the unexpected, to react instantly and decisively in a crisis, to manage situations not created by themselves" (p.197). The managerial elements of the job also emerged; many of the heads stressed that the job had moved away from education being a headteacher to being the head manager. The nature of the changes will be explored in more detail in the next section.

**Theme two: Changes in the nature of headship**

The heads were asked to reflect on changes in their work from a number of perspectives.

- **Changes as a result of career advancement**

Firstly change was explored by getting them to reflect on the changes they had experienced when they moved from class teacher to deputy head and again changes when they moved from deputy to head. There was little difference experienced in the work when they moved from class teacher to deputy, for example:

"The role of deputy head is no different to the role of the class teacher; I probably took on more of an organising role" (H1).

"No not different in a lot of respects; it's probably the best place to be in the education system" (H2).

The biggest change that was noted was due to a change of school rather than a change to the role:

"I found it a big jump but not because of the responsibilities of the job; it was a culture shock, I had been used to a middle class area and I went to C with all the social problems; I was homesick for my school" (H9).

"There was a huge difference not because of the difference in status but because of the difference in schools....what you did and what attitude you took to your job in one school didn't necessarily apply in the next school" (H8).

"There was an awful lot to do; I had come from a new school all set up and I came into a school that was totally different, just like going back in time" (H11).

The heads were in agreement that the deputy's role was a good position to be in, the deputy still organised his/her own class, had a significant say in organising the National Curriculum and avoided, for the most part, all the dissatisfiers that the heads identified in their work. When they reflected on the move from deputy to head they all identified this as the biggest change: "The difference was huge" (H9); this was the sentiment expressed by the heads. The heads who had taken up the position prior to 1988 emphasised that although it was a big jump from deputy to head they all felt it was an even bigger move from deputy to head in 1996 than it was pre LMS, as earlier they found more time to teach "From deputy head to headship is the biggest change, that is pre-National Curriculum and pre-LMS I had more time available to spend in an office situation as opposed to a classroom situation but there was still a large amount of time available to teach which I did" (H1).

"Initially I did all the Welsh classes but when the National Curriculum came in I found I had less and less time to devote to teaching" (H2).

The differences emphasised were that heads needed to have a different set of skills from deputies or class teachers: "What you need as a head are different skills completely... you need organising skills and management skills....we tend to be good at managing children and not adults" (H4). They noted an increase in responsibilities : "It's psychologically a

big jump...you taking the responsibility; it was the most traumatic time of my life. I was young and faced with mature experienced staff who could chew you up ..and very nearly did" (H7).

Weindling and Earley (1987), Evetts (1994) and Southworth (1994) have all supported the view that during the first few years of headship the new head is trying to come to terms with what it means to be a head. As Southworth (1995) concludes "They are discovering whether the new mantle fits....at the same time they are learning in a deeply personal as well as professional sense, what it means to be in a position of power, authority and responsibility" (p.9).

None of the heads felt that they had been prepared for taking up the position of head and they all felt lost when they first entered the job; this is described by H9 "Nobody ever told you; you knew about the education side but the bureaucratic role nobody outlined to you... I arrived here on a Wednesday morning and sat in here and thought what do I do now? There was no training at all". There was no training available and they learned by trial and error : "I was not prepared for headship in any shape or form; there was no training available; you just progressed through your career and applied for the job" (H1). The question of training for headship will be analysed in the final section of the chapter.

- **Changes due to imposed legislation**

When the heads were asked whether the job had changed during the time they had been in post there was an unequivocal response "yes". The catalysts for change they identified as government legislation which resulted in LMS and the introduction of the National Curriculum. A range of responses was given when the heads were asked to detail the ways in which they job had changed since 1988; their responses all started with the concept of an increased role; they identified that they had :

More - responsibility, control, pressure, administration, power, collaboration, financial and accountability.

There was also the recognition by some of the heads that they had changed as a result of being head for many years. This raises interesting questions about the maturation process in headship and the impact of the experience of headship on the behaviour of the head. It is difficult to disentangle the effect of the externally imposed changes from the effects of experience on the job. In addition they highlighted the fact that people's expectations on education had changed in the 1990s; the context and environment had changed. This factor will be highlighted later in consideration of changes in the major stakeholders in education . Southworth (1995) makes the point that as a result of individual differences the perception of change with a sample of experienced heads will vary, "We are all products of our past and each of these head's professional biographies was different" (p.10).

**Increase in management**

Although individual differences are noted in the research there is no doubt that the heads' reflections on headship pre and post 1988 was consistent; the job was very different and the main difference was the increase in managerial activities. There was more management and less time for organising the curriculum and teaching.

This balance between being the leading professional the head-teacher and the manager-head has been well researched ( Hughes, 1988) but there appears to be an increase in the management part of the job in the 1990s. When the heads were asked how they viewed their roles, all the heads noted an increase in managerial aspects of their work. In response to the question of the balance between being the manager (head) or leading professional (headteacher) their responses ranged from one hundred per cent of the job being seen as managerial in nature, to the heads who saw the management content to be less than twenty per cent of the job. For example there were seven heads who saw themselves as head-managers;

"Probably 95% as a manager and 5% as a head-teacher; my approach to headship has had to change" (H1).

"I'm a manager, because we manage buildings, manage resources, manage people you do all that" (H3).
"I've got to be honest I see myself more as a manager" (H5).
"It's getting more the business manager" (H11).

Three of the heads who saw themselves more as the head-teacher:
"I resist the term manager, I get mail addressed to me as a manager and it's a farce. The actual control I have with the budget is almost academic. I advise anybody going into headship, if you think you are going in purely as a manager you will be doing the school a disservice.....80% of the job is as the head-teacher and 20% managerial" (H8).

"I see myself leaning heavily towards being the head-teacher of the school. How much money have we got to manage and how much effort and time is being channelled in areas which are really of little consequence to raising the educational standards in the school?" (H7).

There were two heads who saw a 50-50 balance between the manager-head and the head-teacher roles, yet both acknowledged it was difficult to separate out the activities:
"It varies of course according to the demands at any one time but I would say 50/50 in my case, though that does vary. When we had an inspection there were a lot of management issues that took a lot of time" (H9).

"I would think it must be an equal share really; a lot more management now, it does vary" (H12).
They stressed the difficulties in trying to fulfil the obligations of both roles and most of them said it was impossible to do everything and so they chose which aspects of the role they would concentrate on. The heads who took a more managerial perspective to their jobs often delegated the responsibility for curriculum issues to their deputies. Those heads who concentrated on the head-teacher role delegated many of the managerial aspects of the work to the school secretary and used the school support officer far more.

It is also interesting to note that there appeared to be a link between how the heads saw their jobs and the answer to the question of the main source of change. Six of the seven heads who took a more managerial perspective mentioned LMS as the main catalyst for change, while the head-teachers identified the National Curriculum as the main catalyst.

Thus even from the heads who regard themselves as the head-teacher there was still a recognition that part of their work involved management. The results support the trend of research since 1988 which all highlight an increase in the management elements of a head's role (Harris and Clark, 1989; Hill, 1989; Jones and Hayes; 1991; Laws and Dennison, 1991; Hayes, 1993; Webb, 1994; Southworth, 1995). It should be noted that there may be different understanding of the term management; some of the heads talked about managing the curriculum but the majority of the heads used the term management when describing managing both physical and human resources and school maintenance. Grace in his study (1995) of primary heads reported that over half of the sample thought that educational leadership was under threat from new managerialism in the LMS culture and only a small number thought that the new managerialism could work "if a balance of management and professional commitments was achieved" (p.123). This contrasts with the results from this research where seventy five per cent of the sample thought of themselves as both managers and educational leaders; that is a combined role of manager and leading professional. Grace undertook the fieldwork for his research between 1990 and 1994, the fieldwork for my research was undertaken between 1995 and 1996 and it may be that a further two years on that heads were embracing the management role more readily.

With the exception of the teaching heads, all the non-teaching heads commented on not being able to teach as much as they would have liked due to managerial pressures; this was noted by Webb (1994) and Southworth (1995). A number of the heads spent time in the classrooms performing a monitoring role, although they were all anxious to stress that they did not agree with undertaking a formalised system of inspection where they gave the teacher a time when they would visit the classroom (as would be the case in a

formal inspection). Like Webb's (1994) sample "time available to be in classrooms needed to be spent monitoring rather than taking a class" (p.34).

***Positive changes*** **- LMS**

When the heads were asked to identify positive changes in the last eight years two major themes emerged. Firstly, all of the heads liked having more control over how they spent their finances and as a result of LMS they now had increased control.

"The fact that you can have more of a say in what the money is spent on, far more control" (H 5).

"We've control of our own money; we can decide whether we spend it on furniture or capitation" (H3).

They liked having the choice on how to spend the money even though most of the heads complained they were not getting enough money. They discussed how pre-LMS they were at the mercy of the LEA and had to wait for resources; one of the heads reminisced on how she had only been allowed one piece of carpet per year from the LEA and at that rate it would have taken her fifteen years to carpet the school. Post LMS she purchased enough carpet for the whole school in one financial year. As many of the heads were based in old school buildings, in excess of one hundred years old , the heads were keen to improve the physical surroundings; LMS enabled them to make major physical improvements. They also liked the ability to select their own staff:

"More responsibilities but also far more control....I can choose my staff" (H6).

"LMS, it frees you, it brings bureaucracy but the benefits are huge" (H9).

"If it hadn't been for LMS perhaps I would have retired because I think I would have been so frustrated" (H11).

Craig (1989) anticipated these benefits "It will free them from many of the petty regulations that have constrained them for many years allowing them to control their budgets" (p.5).

"LMS has been favourable for me in my work" (H12).

One of the heads went even further by discussing the issue of choice in buying in the LEA services and had already opted out of the LEA's personnel service for that year.

"Positive changes; it has made me more aware in terms of being a manager of things. I need to consider before I make decisions regarding the budget which in turn affects the resources, human plus material. Decisions regarding services that I need, that I may have to buy into because now under LMS I have choice just like a consumer when he or she goes shopping; now as a head of the school I have similar choice" (H1).

LMS appeared to empower the headteachers, as it resulted in an increase in their control of resources.

***Positive changes*** **- National Curriculum**

The second theme identified as a positive change was the introduction of the National Curriculum (NC). There were two benefits identified, collegiality and a change agent. The heads were pleased that a bi-product of the NC was the emphasis on team work and whole school policies. Secondly for some of the heads coming into the job at the same time the NC was being introduced it allowed the heads to introduce changes they wished to make far more easily than they could have prior to the introduction of the NC. Existing staff recognised that they needed to change and were looking to the new heads for guidance; the period of uncertainty and insecurity by teaching staff enabled the head to be even more powerful.

"Shared planning; the NC helped; I think it gave me more power to say to staff that this is what you have got to do now because it's agreed nationally"(H4).

Sharing has been identified by Hellawell (1991) as a source of satisfaction for all concerned.

***Negative changes***

The negative changes focused on the lack of respect for teachers by the general public and in particular by some parents. This has been discussed earlier as a major source of dissatisfaction and a source of stress.

"The role and place of teachers in society has gone down; we are the dregs whereas years ago we were always respected" (H4).

They disliked the nature of the change process and particularly disliked the way the NC had been introduced and constantly changed.

"I don't consider the NC itself to be negative but it has been so poorly organised and planned and teachers have had to repeat the same work over and over. It has been hugely frustrating and demoralising; a waste of time and a waste of resources to an obscene degree" (H9).

Two of the heads singled out appraisal as being a waste of time.

"Change such as appraisal has fallen flat on its face ..they are trying to resuscitate it but for what purpose.. the teaching profession find it a drudge and of no value" (H7).

All the heads were concerned about the volume of paperwork that was required and saw this as a negative change to their work and to the work of the class teacher.

***Changes in relationships with key stakeholders pre and post 1988***

The next set of questions explored whether the heads had experienced any changes in their relationship with key stakeholders such as parents, children, teachers, their deputies, governors and advisors since 1988 (or since they had been in post).

***Teaching staff***

Three of the heads felt there had been no changes in relation to their teaching staff; whereas nine of the heads noted some changes. Changes included a feeling that they were now working more closely with their staff, involving staff in budget setting and sharing planning activities. They attributed the increase in collaboration to the implementation of the NC and LMS. Some of the heads identified the insecurity experienced by staff as a result of these changes and commented on staff morale being lower and as a result the heads had to work even harder to reassure their staff. Two of the heads also felt staff did not see them as the leading professional as they had been

promoted out of the classroom prior to the introduction of the NC and did not know what it was like to deliver all the subjects required in the NC.

"I was a good teacher but they think, ah but when you were teaching you didn't have to teach all those subjects.... this is a problem for all the heads who were teaching pre-National Curriculum" (H5).

In conclusion the NC brought benefits in terms of whole school collaboration, shared planning and team work but also brought such negative features as lowering of staff's confidence, lowering of morale and excessive paperwork.

*Governors*

Since 1988 the involvement of governors has been a major change on school management, yet for most of the heads since that time their relationship with the governing body had not changed. Most of the heads talked about their governing bodies as sources of support and in particular welcomed the good relationship they had with the chair of governors. They noted a change to the composition of the governing body and now felt there was less of a political presence.

"It has changed over the last six years; when I first came here it was extremely political ...I believe the balance now is of good people who want to see the school benefit" (H8).

For most of the heads the governing body was seen as a discerning supporters' club or critical friends and as a result this gave the head even more power in managing the school. This corresponds to Levacic's (1995) concept of governing bodies being like supporters' clubs; that is governing bodies are performing supportive and advisory roles rather than operating accountability models. This is illustrated by a comment from H6:

"My previous governing body would score political points against each other, now they trust me. I've got more power, they say 'it is your school you have to carry the can, you know best'" (H6).

There was an awareness that there was a delicate balance in the membership of the governing body and at any time the wrong sort of person could be elected or co-opted onto the governing body which might upset the balance. There was one striking

exception to this picture of a helpful and supportive governing body; H2 had experienced great problems in working with certain members of his governing body; he felt they were interfering.

"In the last few years I have had to involve the governors far more in the life of the school. For example former policies which are now being written have got to go in front of the governing body to be passed. The governing body itself has changed; I find now that governors want to be more involved. I get lots of problems from interference from governors" (H2).

In this school two of the governors visit the school every day to question the head on policy issues; the governing body meetings last three to four hours and there is no doubt that this head is feeling more and more stressed as a result of governor interventions. They questioned his decisions and rewrote his policies. This issue emerged in the group meetings and some of the meetings focused on giving the head help and support. This head is now considering early retirement. Worryingly these two governors are putting their names forward for the governing bodies of other schools and the delicate balance could easily be disrupted in other schools. This sort of situation is one that Levacic (1995) warns against: "Governors exercising their accountability role without gaining trust and compliance from the headteachers, particularly if they intervene in day-to-day management, are likely to provoke conflict between themselves and the headteacher" (p.40).

***The deputy head***

The only changes noted in the relationship between the head and the deputy was that pre-LMS the head would have taught more in order to give the deputy head and the staff more non-contact time. Since LMS the head's job has become more demanding and there was a problem of not finding time to develop the deputy head as a future headteacher. There was also the issue of the head protecting the deputy from the demands of LMS and empowering the deputy to cope with the demands of delivering the NC. The heads claimed that they were trying to protect the deputies from job overload

but as a result the gap between what a head does and what a deputy does, widens. In trying to protect their staff, the heads add further burdens on themselves. Gray and Freeman (1987) warn against this happening, when the head's self image does not permit them to admit weaknesses and take on all the work; "Once the school has become part of the headteacher's personality the superman image is complete". There is a need for the head and deputy to have time to work together; this is supported in Jayne's (1996) research on the development needs of deputy heads. Similarly Southworth (1994) stresses the important partnership between the head and the deputy head.

*Parents*

The issue of parents complaining more, being more critical and more confrontational was a recurring theme.

"Parents became more questioning.. criticism for criticism sake. They don't value what is going on within the school" (H8).

Another issue emerged as a change regarding parents; many of the heads were spending more and more time dealing with parents' problems

"They come here for advice ..this has increased because I'm known more. They come in with personal problems; some of the most bizarre things at times" (H11).

"Most definitely an increase in parents coming to me with personal problems. I find there's an occasion when a mother comes up and she opens her heart to me and wants counselling. They come up to say my little Johnny's not well but then things emerge; my husband has left me or I've been beaten up or I've got financial difficulties" (H12).

An increase in the counselling role has been emphasised by Webb and Vulliamy (1996) who found that heads spent "Increasing proportions of their time meeting and discussing with parents.....we were surprised at the frequency with which headteachers were having to counsel parents about their rather than their children's problems" (p.23).

The heads recognised that this was due in part to the fact that they were experienced and were perceived as a stable part of the local community. This aspect of a head's work is

rarely mentioned in descriptions of the head's role yet it figured prominently in their descriptions of their involvement with parents.

There was overwhelming agreement that few of the parents were interested in the governance of the school and single figure numbers of parents attended the annual parents meeting to receive the report from the governors. In contrast a very high proportion of parents attended pupil progress meetings and school concerts.
In conclusion the head needs to be more skilled than ever in handling difficult parents and also needs to possess skills of a social worker in order to deal with parents' problems.

*Children*

All the heads agreed that there was little difference (pre and post 1988) in their relationship with the children. Their only concern was that as a result of the demands of the job they were seeing less of the children than they would have liked. One of the consequences of the publication of league tables in secondary schools was a significant increase in the number of pupil exclusions, the publications of results in the primary sector starts shortly, they wondered whether a similar rise in exclusions would occur in the primary sector in the future.

*Advisors*

The question that elicited the most comments was when the heads were asked whether their relationship with advisors had changed. There was a unanimous answer of yes and eleven of the twelve heads highlighted a drastic reduction in their contact with advisors. Only one of the heads spoke positively about the continued supportive role of the advisors. In this case the school was identified as a failing school and extra support and help had been given to the new head. In all the other schools their responses were similar, they now had to pay for advisory help and for the smaller schools in particular with a limited budget this was problematic.

"You rarely see them now that we have to pay for their help; we just haven't got the money to pay for their help now" (H3).
"Everything now is seen as a product which is costed. If I want advice from an advisor I have to pay for it. If I want an advisor to visit my school for half a day I have to pay a couple of hundred pounds" (H1).
"Now I have to pay for their advice around three hundred pounds per day; I can spend three hundred pounds more wisely than that" (H8).
"Yes definitely changed..... in the past my advisor would pop in four or five times a year and I thought that was good. Now their roles have changed completely, they only come out now when they're being paid. We don't get anywhere near the support from the advisory staff that we used to have..... schools can't afford it" (H12).

There was also an additional problem as the experienced heads believed that the advisors had little to offer them as most of the advisors had not been heads of schools since the introduction of LMS and the NC. This was similar to the complaints that heads had received from teachers when the head had not been a class teacher since the introduction of the NC.
"I swear I never see them. It has changed dramatically really; recently we have had a large turnover of advisors....and we have no idea who they are and it is worse now that the county has been fragmented. They have been out of school situations and they don't know" (H4).
"The advisors I know are younger; I know their history and I don't think they have a lot to offer this school" (H8).
"Pre-LMS they played a significant role ..in recent years due to one's growth and experience in headship and the changing nature of the advisor's role one has very little contact with them" (H1).

The heads' reactions were given with emotion and I felt that this was one of the most significant changes and one that has not been identified in other recent research on the

role of the primary head. The purchaser/provider split was most apparent in this relationship and the heads were choosing not to buy into the advisory service.

*Sources of support*

This led to the question of where the heads turned to for help if they were no longer using the advisory service. There were two main sources of support identified: support from other heads and support from the school support officer (SSO). Some of the heads spoke positively about the support and help that they had gained from the cluster group which consists of heads from those primary schools that feed into a particular comprehensive school. The effectiveness of the cluster groups was not apparent across the groups; one of the cluster groups operated more effectively than the others and the heads in this cluster were very complimentary and grateful for the help and support given. In addition to cluster groups the heads spoke of the advice and help they received from other heads: "I had people who supported me, heads of other schools; I would ring up and say I don't know what to do about this and invariably got good advice" (H9). The role of the SSO was stressed by many of the heads; they looked to the SSO for help with budgets and the managerial aspects of the job.

"I get a lot of help with budget from the SSO. I find our cluster group meetings are very valuable. Having informal chats about problems, we can talk to each other, we have all got similar problems and we give each other suggestions" (H2).

**Theme Three:** **Development needs for headship**

The heads received little or no training prior to headship; they complained that they were not prepared and they learned the job by doing it, by trial and error. Since appointment most of the heads had attended short courses specifically designed for headteacher training but the courses only focused on such issues as the layout of the school or on curriculum issues. None of the heads had received any training on personal skills or management skills.

"When I started in the job I didn't really know what was involved in headship because we had no training. I didn't know how to write a policy document, how to do a scheme of work" (H3).

"There was no formal training, I learned by trial and error and speaking to other heads (H5).

***Managing people***

The heads were asked to suggest what sort of training a new head should receive; what sorts of things does a head need to know? All the heads identified as one of the most important skills that of managing people and in particular the ability to manage the staff, parents and governors. They all felt they were good at and comfortable about managing the children; as they stressed they had received a lot of training in that area. "We tend to be good at managing children and not adults; we need to learn ways of dealing with people" (H4).

"You've got to be good at people management.. getting on with people and sometimes if you really dislike them you have to be pleasant to them.....avoiding situations rather than confronting" (H3).

"The hardest of all is taking people with you" (H5).

"The more difficult issues are dealing with relationships with pupils, teachers, parents and governors.....multi-clients" (H1).

Linked to this area of dealing with people were the needs for heads to be good communicators, have good presentation skills and be skilled negotiators. Some of the heads felt that as a teacher they were trained to be good communicators with children and had been assessed on their presentation skills but they now needed to be trained in the differences in communicating to different audiences of adults. As H9 commented "If you are a teacher you are a good communicator; usually the basic skills are there; they just need to be refined".

Skills in negotiating were seen to be growing in importance as the heads had to be more questioning of providers and seek value for money. They also felt that they needed to negotiate far more than in the past with parents. "You definitely have to have negotiating skills with parents or anyone that you come into contact with" (H5).

People and relationships is one of the key area identified by the Teacher Training Agency (1996) for headteacher training.

*Managing finance*

The next set of skills most frequently identified as necessary for the new head was the ability to manage the finances of the school.

"You have to monitor closely.....you've got to have financial ideas, an ability to understand financial information" (H5).

"You have to be an accountant in order to balance the books" (H1 and H9).

*Managing office systems*

There were many examples given of small jobs that the head needs to manage and if they were not managed they could cause the greatest problems; such jobs as collecting and dealing with the dinner money, filling in the log book, form filling, purchase orders etc. The value of having a good secretary was emphasised by all the heads and in some of the schools the secretary was empowered to undertake duties far in excess of her training or pay. The role of the school secretary needs further examination and will not form part of this research. Many heads learn office systems from the secretary:

"Form filling... you learn from your secretary or if you haven't got a good secretary it has to be from other heads who will tell you how to do things" (H3).

"You didn't know what documentation was important.....even down to mundane things such as dinner money, you picked it up from the school clerk, well that was crazy. These things are important because even though they are small if you were unaware of them then they take a portion of time not commensurate with their importance, they take priority over things that should take priority" (H8).

The heads had commented earlier on the increase in paperwork and form filling; managing these systems more effectively has grown in importance.

***Counselling skills***

The heads' interactions with the parents took up a lot of their time and some of this time was spent in counselling the parents on their problems. This is particularly the case for heads of primary schools as the parents normally visited the school at least twice a day when taking their children to and from school. In contrast the junior school head spent less time dealing with parents' problems. As social problems increase especially in an area like this which has high unemployment, petty crime including vandalising the schools, drug abuse and family breakdown; one of the few stable figures in the community is the experienced head. The heads gave many graphic examples of parents' problems, for example dealing with marital breakdown and questions of access of the children, instances of four of the children in one school with different mothers but all having the same father, parents with drug problems, child abuse, parents who are suicidal- one of the children had to cope with his mother and father attempting suicide in the same week in the presence of the child and the head subsequently having to deal with the parents and the child's problems, problems of transient families etc. The extent of the social worker role is illustrated by H10.

"I've got to be a social worker.... I sit down and listen if I don't know what problem the parents have, I don't understand the children's problems. This social worker role has increased and is virtually 80% of my job at the moment and I'm not trained for that". These examples provide support to Webb and Vulliamy's research (1996) which highlights the social work aspect of the headteacher role. The Association of Teachers and Lecturers have called on the government to provide funding for school-based social workers and this seems to be necessary especially in such deprived areas as the area in which the research was undertaken.

*Awareness of LEA services*

Some of the heads would have found it helpful if they had been introduced to the key LEA staff they would be dealing with and find out more initially what the LEA could offer. "The first thing on appointment before starting the job heads should be introduced to district office staff, staff you would be dealing with on the telephone regularly because it is much easier to deal with them once you can put a face to a person and know their role" (H3).

With the introduction of markets into education the head now has the opportunity to opt out of all or part of the LEA services, it would be in the interest of the LEA to 'sell their services' far more in the future than they have done in the past.

"You need a lot more information about the organisations around you, of the whole strategy really of local government and support and you need to know about all the other professionals that you deal with" (H4).

*Awareness of the law*

The problems of dealing with difficult parents has been rehearsed earlier but there appears to be a growing number of cases of parents getting more litigious and heads having to deal with letters from solicitors, for example H9 talks about this "I have to be prepared to defend myself in a court of law because I'm regularly threatened by solicitors' letters from disgruntled parents who refuse to leave the premises when using bad language". People appear to be far more aware of their rights and heads must have a clear understanding of the legal position in aspects of school life.

*Time management*

The work of a primary head is very demanding and as a result heads feel under constant time pressure and ultimately may feel stressed. Three of the heads thought a course on time management would be helpful.

*Personal philosophy - vision and educational values*

During the interviews the heads introduced the concept of their own philosophy of education which helped steer them through the difficult times; some of them also used as a benchmark for guiding their decisions, what they would want for their own children. This point might be the link between the head teacher and the head managers roles; although all the heads noted an increase in management and some of the heads saw themselves more as managers, all the heads focused on the needs of the children and this was founded on their personal philosophy of education, a vision which they articulated at length during the interview. This corresponds to Sergiovanni's (1992) concept of an educational platform, a set of values and attitudes the heads have about education. In addition they articulated the importance of having a vision for their schools.

*Monitoring skills*

Many of the heads discussed a newer role of monitoring which has been analysed earlier. They saw this part of their work increasing as the role of the advisors decreased. The way they went about monitoring was described by H9: "Not huge strategies; it is like the Peters and Waterman thing; the wandering about, keeping an eye on what's going on".

*Planning skills*

Although the heads would like to have more time to plan, they recognised the importance of planning and with the advent of the school development plan they were being forced to undertake planning as a requirement of the job; it was a firm expectation by OFSTED. "Planning, forward planning is important. It's no good coming in and just letting things happen" (H12). Broadhead (1996) stresses the importance of school-wide planning and the necessity for training in this area. Similarly Fidler (1997) emphasises the need for strategic management and strategic planning.

*Personal skills*

There were a number of personal skills identified; these included being organised which links with office systems, planning and time management skills; being motivated: this

was seen as essential as motivation and enthusiasm are important features of the head which impacts on staff morale. Humour was also highlighted as important to help relieve the stresses of the work. From the earlier analysis of sources of satisfaction it is clear that heads are most motivated by children's achievements; what the heads need to do is recognise ways of working through others (managing people) in order that the children achieve. This also links in with the head's personal philosophy of education.

*Multi-skilled*

The role of the primary head requires a range of skills and at present there is little or no training available to new or prospective heads in any of the skills identified above. There is an attempt by the Government through the Teacher Training Agency (TTA) to provide training for heads through the Headlamp proposals although this has not been applied to Wales. More recently the TTA have invited bids from providers to supply headteacher training; these programmes are currently being developed and pilot studies are in operation. It is important that the complexity of the role is recognised and an appropriate balance is struck between managing the curriculum and the management of the school and its interface with the main stakeholders. Head 9 provides a suitable conclusion "It is the most demanding job in skills as well as stamina, you have to be multi-skilled".

The interviews confirmed the results of the group work that there is a core of management competences that primary heads need. The interviews however provided information of additional dimensions to the head's role. The main source of satisfaction for the primary head is children and providing the opportunities for children to learn and develop to their full potential was at the heart of the head's role. There is no doubt that many heads are being affected by work overload and stress but the benefits still outweigh the negative features; and the benefits are centred on children. When the heads were asked to identify the sort of training and development new heads should receive they detailed the management skills which match the management toolkit detailed in chapter four. They also identified some educationally specific skills including a greater emphasis on counselling skills, time management and monitoring. The heads stressed the

importance of having a personal philosophy of education; this corresponds to Sergiovanni's view that leaders should have a coherent educational platform which shapes actions. This educational platform is a set of assumptions, beliefs, opinions, values and attitudes which guide the actions and decisions of the head. They also articulated a vision or mission for their schools which were all educational in nature. Both vision and having an educational platform are missing from the management standards yet were seen by the heads as the core of their actions. Therefore it is proposed that the generic management tool kit is expanded to include the following education specific competences and school specific competences:

*Education Specific*

Managing Learning - knowledge of educational practice, the child - centred activities, teaching, teaching materials, special needs of the children, organising the curriculum and the moral and ethical aspects such as inculcating disciplining, values, teaching methods, assessment, pastoral systems etc.

*School/ Individual Specific*

The importance for the head to have a vision for the school and to be able to communicate this vision to all concerned with the school has been linked with effective schools and the school improvement literature. The importance of vision and values was highlighted in the interviews and should be included in a list of professional development for all new heads of all schools, the remainder of the list however is more applicable to heads who work in schools in areas of social and economic deprivation.

- Providing a vision for the school
- Communicating the vision to others
- Counselling skills in order to counsel adults with their many problems
- Disturbance Handling - coping with problems of parents fighting, drug crazed parents, break-ins and vandalism.

- Problem Solving in a deprived area (where the head may be the only authority figure in the locality).
- Maintenance of the school buildings

In conclusion, the data from the interviews provide a rich picture of primary headship in a deprived socio-economic area in the 1990s. The work of the primary head increasingly contains management activities, they feel more accountable and as a result the job has become more demanding. The heads responded to imposed changes such as the National Curriculum and the Local Management of Schools and resulting from the imposed changes was a domino effect as the heads highlighted changes in their relationships with key stakeholders. Finally the heads reflected on the way new heads could be prepared for the challenges that would be presented to them in their work as a primary head and what range of skills and underpinning knowledge would they need. A picture emerges that the primary head in the 1990s needs to be multi skilled, with a clear vision for the school, healthy and energetic in order to cope with the long hours and stresses of the job and to be able to strike an appropriate balance between the many aspects of the work.

# *Chapter 6*

## Analysis of Repertory Grids

The third and final research method used to gather data on primary headship was the Repertory Grid. Information obtained from the grids is used to supplement and validate observations from the group work and data supplied from the in-depth interviews. Another reason for using the Repertory Grid is that organisations such as schools are complex and can be understood in a variety of ways; the matrix of elements and constructs are used for complementing the other qualitative research methods and thus providing another perspective that the heads have of their schools and their work within the schools. Cassell and Symon (1995) warn, "Very often the detached observer is presented with an official story suggesting a functional or mechanical view where members perform procedural routines according to role and structure" (p.75). There was a danger that this mechanical view was being presented to the researcher during the group work, where aspects of the head's work was being presented in an orderly way and based on rational decision making. The in-depth interviews helped to illuminate those features such as choices, decisions, judgements and interpretations which underpinned any actions. The Repertory Grid provides another method for exploring the head's personal construct system and the cognitive maps supplement the results from the interviews and group work and provide an opportunity to challenge and question the data already collected from the group work and the interviews.

Kelly's (1955) fundamental postulate is that "a person's processes are psychologically channelized by the ways in which he anticipates events". Implicit in the theory is the notion that individuals do not respond to a real situation but to the situation as they see it and in turn their interpretations of a situation will be a function of their individual construing system. This personal construction Kelly describes as goggles through which an individual views reality. Thus a construct is not a label; it is in essence a prediction; constructs help deepen one's understanding of the way the heads interpret the reality of

their work and roles. The way in which the head acts and responds reflects and is based upon the individual's cognitive framework. Kelly defines construing as a person's attempt to transcend the obvious. Nias (1987) stresses that "the attitudes and actions of each teacher are rooted in his/her own ways of perceiving the world" (p.179).

**Analysis of the grids**

A description of the way the grid was used to elicit elements and constructs is provided in the research methods chapter. The elements are the descriptors of what a head does and these have not been imposed by the researcher but have been supplied by the heads and represent the head's own construction of the job elements which makes the data more ecologically valid. Gammack and Stephens (1995) supports this view, "The value of the Repertory Grid, by not prescribing the content, is in offering a structure in which the inquiry can proceed in the subject's own terms" (p.85). Analysis of the grids may take either or both of two forms; a statistical analysis involving the mathematical properties of the grids and/or a more interpretative analysis of the elements and constructs. This research uses a more interpretative analysis of the grids which is in keeping with the tenets of qualitative research and referenced to a constructivist philosophy.

**The Job Elements**

At the start of the Repertory Grid interview it is necessary to elicit elements and in this case elements were elicited by prompt questions to the heads asking them to identify activities they perform which were an important part of their job. They were then asked to name other important activities, those which take up a lot of their time, those which occur regularly etc. and the remaining elements are elicited with further prompt questions.

Twelve Repertory Grid interviews were undertaken on the heads who had already taken part in the in-depth interviews. Ninety seven elements were elicited which provide a list of activities which each head had identified as part of his or her job. Analysis of the

elements revealed a high degree of similarity in the heads' perceptions of their work. Rather than producing a list of ninety seven elements, the overlapping elements have been combined and presented in rank order with those elements most frequently mentioned listed first, second etc.

*1. Child centred (20)*

The highest rank was given to those aspects of the head's job directly involving children; these activities accounted for twenty of the ninety seven elements. The child related activities included, teaching (6), dealing with children's needs (6), disciplining (4), taking assembly (3), and preparation of teaching materials (1). This emphasis on child centred activities corresponds to the answers in the in-depth interviews when the heads were asked to identify those aspects of their work they liked.

*2. Administration (18)*

The second highest rank of job activities was given to administration which accounted for eighteen of the ninety seven elements. Administrative activities included general administration (5), dealing with the mail (5), paperwork (5), and telephone calls (3).

*3. Monitoring (10)*

Monitoring was identified ten times as elements in the heads' grids. This activity included the monitoring of staff, pupils and resources.

*4. Planning and reflecting (10)*

Planning and reflecting was also identified by ten of the heads as an important part of their work. This element was differentiated by some heads into short-term and long-term planning.

*5. Problem solving and organising (9)*

Problem solving accounted for nine of the total elements and included problems brought to the head by staff, children and parents.

*6. Parents (6)*

Involvement with parents was cited six times and this was either dealing directly with parents about the children or with parent counselling.

*7. Staff (6)*

Staff were equal to parents in terms of the frequency they were identified, six elements were connected with staff issues.

*8. Maintenance of the school (5)*

Managing the general maintenance of the school was listed by five of the heads as an important activity. Maintenance activities included ensuring that the school was a safe environment and dealing with structural problems - leaking roofs etc. This had emerged as problematic and time consuming for the heads, especially those heads in the older schools in both the group work and the interviews. When the researcher interviewed the heads in their schools they all were very keen for her to see the improvements they had made to the environment of the school.

*9. Meetings (5)*

Attending and chairing meetings is also an important activity. The sort of meetings cited were meetings with parents, staff meetings, cluster group meetings and meetings with the director of education.

*10. Dealing with external agencies (4)*

An important part of the head's work was dealing with external agencies; these agencies included, social services, psychological services, social security and the police.

*11. Financial management (3)*

Financial management was only cited by three of the heads as an important job activity; this contrasts with the in-depth interviews when many of the heads cited financial

management as one of the biggest changes to their work. This issue will be revisited in the analysis of the constructs.

*12. Developing the persona of the school (1)*

Only one of the heads included the concept of developing the persona of the school; although it could be argued that in many of the other job activities detailed above, the underlying rationale is to develop the persona of the school.

**The Constructs**

The constructs were elicited by grouping the triads of job elements and seeking out linkages, ways in which two of the three job elements were similar to each other, but different from the third job element. Eighty four constructs were abstracted and they were then grouped together to form principal construct themes. The principal themes reinforce Kelly's commonality corollary, that is the extent to which one person employs a construction of experience which is similar to that employed by others. Kelly stresses that people are not similar because they have experienced similar things or because they use the same verbal labels but rather because they construe i.e. discriminate, interpret, see the implications of events in similar ways. The principal themes are presented and include within them the related constructs; this gives an insight into the ways the heads perceived the various parts of their work.

**Children**

Once again the heads' perceptions of their work is very clearly based on the children. The constructs that emerge are very positive and contrast sharply with the administration constructs. The constructs are: I love, involving children, subjective, interactive, developmental, teaching, communication, public performance, everyday occurrence, personal skills, two way contact, school based planning, child centred, expert help, monitoring, instant decision making, forward planning and proactive. The constructs reinforce the conclusions from the interviews regarding the importance and centrality of children to the head's role.

**Administration**

Administration was perceived through a more negative set of constructs; the constructs are : routine, cyclical, ongoing, time wasting, unplanned, within our control, form filling, bureaucratic, paperwork and secretarial duties.

**Monitoring**

The monitoring role elicited a number of constructs ; teaching, special needs, setting targets, evaluation, managing by wandering around, policy decisions, management of education, inculcating discipline, planning and problem solving. The monitoring role was identified as an important job activity and the resulting constructs are management tasks which enabled the head to exert authority over the staff.

**Planning and reflecting**

There were a group of constructs centred on planning and reflecting; the constructs include: thinking, forward planning, co-ordinating, short term planning and sorting problems.

**Problem solving**

Problem solving appears to be an important ability *required by a head and a range of* constructs emerged : monitoring, negotiating, thinking, planning, organising the curriculum, teachers' problems, parents' problems, sorting problems, responding to external problems and problems with the maintenance of the school.

**Parents**

Not surprisingly there was some overlap between parents and children but there were clear differences in the constructs. The constructs are: reactive, instant decisions, co-operation, child centred, external, problem centred, central to the persona of the school, dealing with adults and dealing with children's problems.

**Teachers**

This aspect of their work again elicited a variety of constructs which included a mix of the parent and children constructs. Staff were perceived as similar to parents in terms of their being adult, reactive, child centred, related to children's problems and involving instant decision making. The head has to deal not only with large numbers of children but also with groups of adults, teachers, parents and external professionals. Southworth (1995) highlights this aspect of the work of the head, "Yet, in headship there is the added dimension of the head facing groups of adults. No investigation appears to have been conducted into this phenomenon" (p.175). Dealing with adults emerged as an important skill and was highlighted in both the interviews and as a construct in the grids. The staff were perceived in a similar way to the children in terms of involving teaching, school based and involving a two way contact. The constructs are: instant decision making, reactive, controlled by me, personal skills, school based, two way contact, adult, problem centred, teaching, influencing others, assessing strengths and weaknesses, motivating staff, team working, observing, child centred and problem solving.

**Meetings**

Attending a range of meetings is a major part of some of the heads' work; meetings were construed as staff meetings, cluster co-ordinator meetings, meetings with the director and meetings controlled by me.

**External**

The heads differentiated between their school-based internal work with the outside, external activities; the constructs are: not enjoy, abstract, other agencies, expert help and negotiating.

**Finance**

Although there was some overlap in the ways some of the heads viewed financial management and administration a separate set of constructs emerged which justifies including finance as a separate principal construct. The construct are: budgeting,

management of the school, financial planning, organising and administration. It is interesting to note that although only three of the heads singled out financial management as a job element the importance of managing the finances emerged more clearly through the constructs.

It is significant that neither in the elements nor in the constructs were there any direct references to governors or advisors. In the case of governors the heads still do not perceive them as an important part of their work; the role of the governors in most of the schools was that of a supporters club conferring much of the management of the school to the head. With regard to advisors, highlighted in the analysis of the interviews is the view that the heads saw their relationship with advisors as a source of major change and most of the heads no longer saw or requested to see advisors other than during inspections. It is not surprising therefore that advisors did not emerge in elements or constructs.

**Examples of the linkages between the interview data and the Repertory Grid analysis.**

The following examples show how far the transcripts of the semi-structured interviews match the results of the Repertory Grid analysis. In order to do this, the evidence from a sample of heads will be looked at holistically.

**Case study - Head 11**

Head 11 is in her late fifties and has been head of a junior school for eight years; she was three years as a deputy head in the same school and prior to this was a primary teacher for fourteen years. The results of the Repertory Grid analysis indicate that she has a cohesive set of constructs and related elements which form the basis of her view of her role. The elements and constructs are given below:

| Job elements | Constructs |
|---|---|
| dealing with parents' problems | child centred problem solving |
| dealing with staff problems | implementing policy |
| curriculum planning | evaluation |
| general planning | involving other agencies |
| monitoring | financial planning |
| paperwork | problem solving |
| negotiating with external agencies | involving paperwork |
| fund raising | |

The key constructs are typical of many managers' activities, namely problem solving, implementing policy, evaluation and financial planning and budgeting. It is important to note that central to the construct system is the fact that the management activities are in place in order to support the children' education. The orientation of the job elements and constructs replicates the results of H11's interview. H11 is functioning with the perception that many of her job activities and constructs are oriented *towards* management. This is also evident in the transcript of the interview.

"I love working with children.....I love the business side of it. I'm a wheeler - dealer, I love challenges, I thrive on challenge. I don't like being bored and wouldn't like it if things were too easy. The job is getting that I am more the business manager".

Much of the interview reinforces H11's view of herself as a business manager and highlights the fact that she takes financial planning and budgeting very seriously. This is captured in the interview when she discusses how she manages her budget:

"My biggest worry is the budget; a few little boosts such as renting out the school swimming pool has brought me in extra income. What I'm finding now is that my savings, and I'm quite planned in my savings, is not hit and miss. I've got a really planned approach towards budgeting so that every year I know what I'm aiming to save and I know where I'm saving it. Each year we are having to spend more of my underspend. I'm paying for an extra point five of a teacher; that's an extra that I put in place and also I bought an extra teacher's aid".

This quotation gives a good illustration of careful financial planning in order to benefit the children's learning. H11 continues by making the point, "Generally children are

coming in on a very low base line so we are having to make up and catch up and you need the extra input. Because of this we have gained a good reputation and parents come back to me and want to bring their children to our school".

The head sees the 'domino' effect in this cycle; having a healthy budget in order to buy in extra support in order to raise the standards of the children's education and as a result of these improvements the school has a good reputation and parents send their children to the school which in turn enhances the budget.

**Case study - Head 9**

H 9 is in her mid-forties and has been a head of a primary school for five years; she was a deputy head for fourteen months and a primary teacher for eighteen years.
The results of the Repertory Grid analysis indicate that H 9 has a cohesive set of constructs which have some similarities to those of H 11; it should be noted that H 9 worked as deputy head to H 11 earlier in her career. This raises interesting questions about role modelling and the impact of a the head as a good, or indeed poor role model for the deputy head; in the interview H9 stresses the importance of her previous head (H11) as a role model : "I have learned certain things from...(H11); the head showed me how to handle situations and relationships and long term planning. I learned the important things from her".
The job elements and constructs for H9 are tabled below :

| Job Elements | Constructs |
|---|---|
| disciplining children | dealing with pupils |
| assembly time | involves policy decisions |
| form filling | planning |
| wandering around | problem solving |
| thinking time | monitoring |
| planning and organising the curriculum | involves bureaucracy |
| sorting out the premises | involves expert help |
| dealing with outside agencies | |

There is a combination of education and management activities which reflects the head's comments in the interview that she saw her job as fifty per cent manager and fifty per cent as head-teacher. In the transcript of the interview she comments:

"The job varies according to demands at any one time but I would say about 50 / 50 in my own case although that does vary. When we had an inspection there was an awful lot of management issues that took an awful lot of time. I could resent it but I don't because when I see that strategies and routines are in place and things that really do benefit teachers and children and the running of the school then it's worth doing it".

Again there is the clear message that the management side of the work is rooted in belief that these management activities will benefit the school, the staff and the children. H9 enjoys financial planning and comments:

"I like to decide where the money is going; I like to be in control of the finances so I can direct what's happening. I like the autonomy and the power of that. I could not have done that pre-LMS; it brings all sorts of systems but the benefits are huge".

It was very clear in the interview that H9 enjoyed the management activities but she still retained some of her time for teaching : " I teach every day and I also do a block morning mostly every Thursday". Her rationale for retaining the teaching activities was that it enabled her to monitor the children's' progress and the effectiveness of the teaching. The link between management activities and head - teacher activities is complex and inter-related.

**Case study - Head 3**

Head 3 is in her late forties and has been a head of a primary school for seven years, a deputy head in a junior school for fourteen months and prior to that a teacher in a primary school for eighteen years. Head 3 is a teaching head in a small primary school. H3 was a member of the group undertaking the mapping of their activities to the management standards and the results from the observations of her in the group work, the interview and the Repertory Grid are consistent.

The job element and constructs for H3 are :

| Job Elements | Constructs |
|---|---|
| relating to staff | influencing others |
| observing | assessing strengths and weaknesses |
| organising resources | within my control |
| dealing with building problems | planning |
| long term planning | paperwork |
| writing reports | budgeting skills |
| short term planning | observing |
| teaching | motivating staff |
| | team working |
| | involves report writing |

This is an interesting example; although H3 is a teaching head she sees herself as a manager and much of the discussion in the interview and the many of the elements and constructs in the Repertory Grid focus on management activities. H3 was also the first of the six heads in the group work to complete the management portfolio. She reinforces the management part of her work in her interview : "I see myself as a manager, because we manage the building, manage resources, manage people; you do all of that. Teaching is a small part of headship today or it should be because you oversee; you make sure everything is all right for the teachers and the children. You make sure the resources are there and they are able to meet the children's needs. I plan my work but find it difficult being responsible for a class as well".

When H3 was asked which part of her job she found most rewarding she said: "It's managing the staff to make things happen. That sort of influence in what's going to happen; that's rewarding particularly when over time you see things changing for the better".

In all three examples given above the focus on the management activities of the head's job are revealed in the transcripts of the interviews and supported in the analysis of the Repertory Grids. The next example is taken from one of the sub-group of heads who saw themselves as head- teachers and were generally dismissive of the idea of being seen as managers.

**Case study - Head 7**

Head 7 is in his fifties and has been a head of both a primary school and a junior school for a total of eighteen years, a deputy head of a primary school for two years and prior to this was a teacher in a secondary modern school for a year and a primary school teacher for five years. His job elements and constructs are presented in the table below:

| Job Elements | Constructs |
|---|---|
| contact with children | everyday occurrences |
| contact with staff | two way contact |
| problem solving | abstract |
| developing the persona of the school | central to the persona of the school |
| overseeing day-to-day maintenance | personal skills |
| responding to external requests | gives the impression of a helpful school |
| dealing with parents | school based |
| | dealing with adults |

In this Repertory Grid there is no mention of planning, monitoring, budgeting etc. and there is more emphasis on reacting to situations as opposed to forward planning. In the interview H 7 made absolutely clear his view of the idea of the head as a manager:
"I resist it, the term manager although I know I get my mail addressed to me as manager, it's a farce, an absolute farce. The actual control I have with my budget is almost academic; the vast majority of the budget is teachers' pay anyway. I advise anybody going into headship, if you think you are going in purely as a manger, you'll be doing the school a disservice. The balance should be eighty per cent of the job as head-teacher and twenty per cent managerial".

Unlike the previous examples H7 had been a head for ten years prior to the 1988 ERA reforms and it could be argued as result was more resistant to change. He was pleased to report in the interview that the school retained traditional values of discipline, an emphasis on the presentation of work and bemoaned the fact that neither advisors nor government focused on these important values.

The Repertory Grids support the results of the interviews and the group work, once again the generic management elements emerged as did the importance of children and the educational mission and values. The constructs give a clear picture of how the heads organise and structure their work conceptually. The superordinate constructs for most of the heads were child centred and management and as Kelly (1955) emphasises in his theory of personal constructs, "A person's construct system is viewed as being organised hierarchically with subordinate and superordinate constructs; core assumptions are found at the pinnacle of the construct systems". Children were at the pinnacle of the heads' construct systems and this was supported by such management constructs as monitoring, planning, administration and financial management.

In conclusion, the four examples presented in this chapter provide evidence for a claim of internal validity of the data collected; there is triangulation of results from the group work, the interviews and the Repertory Grids. Most of the heads saw their jobs as containing a high proportion of management activities and perceived themselves as education managers reflected this in their management portfolios, espoused this in the interviews and revealed it in their Repertory Grids. The heads revealed that at the core of their personal constructs were children. The job elements and constructs also revealed a concentration on management and there was a blurring between the two constructs of children and management. The results from the Repertory Grids further support the claim that there is a new professionalism emerging and supports the thesis of a New Public Management.

# *Chapter 7*

## Conclusions

Following a set of empirically based chapters, this final chapter moves back to a consideration of the aims of the research and to a more general level of analysis. The aims of the research were to investigate changes in the role of the primary headteacher and, arising from this investigation, to identify the future development needs of the head. The conclusions arising from the literature review and the main findings from the empirical data will be discussed, the implications for headteacher development will be highlighted, and recommendations will be made for further research. The chapter is organised into three main sections; first an analysis is undertaken of the changing role of the primary head; second a new model of headship is proposed; finally a model for primary headteacher development is elaborated.

**Changes in the role of the primary head**

The review of literature and the empirical data from this investigation clearly revealed that the role of the primary school head has changed considerably between the 1980s and 1990s. In particular primary heads are much more management-oriented since the implementation of the 1988 ERA. Whereas in the past the head's main responsibilities had been for curriculum development and some aspects of staff management, these responsibilities now include a wide range of management activities, including strategic planning, resource allocation, budgeting, cost control and monitoring. There is evidence that role expansion has led to overload and stress related illness amongst primary heads (Cooper and Kelly, 1993).

The research arose from the investigator's work with a group of heads which was attempting to compare aspects of the head's work with best practice standards for managers in all sectors. The results from the group work were conclusive; the heads were able to map their work against the management standards and to provide suitable evidence for assessment. The competences identified in the standards appear to be

generic - they are applicable to the work of the head in the mid 1990s as well as to managers in other sectors. Chapter Four provided an analysis of the group work and headteachers' reflections on their work.

Although there was agreement on the generic management competences, it was felt that the standards lacked a broader organisational context of the education sector. Kotter (1982) portrayed this in terms of knowledge of the industry, job and business environment, and McCall et al. (1994) referred to it as the need to know the business. The competence approach does not fully deal with leadership and, in particular with the very important issue of providing a vision for the school and getting people to internalise that vision. These wider perspectives in the role of the primary head and both sector specific and organisational specific competences, were investigated by means of interviews.

The interview data detailed in Chapter Five reveal significant changes in the role of the head over the last nine years. Their work entails more management activities, they feel more accountable, and they report that their job has unequivocally become more demanding. This research was undertaken on experienced primary headteachers located in an area of social and economic deprivation and the author does not claim that the findings are generalisable because of the distinct nature of this group of headteachers. Nonetheless, a number of the results *support and reinforce* the findings from Southworth's (1995) research on experienced primary heads and suggest some typicality in the findings.

The five major issues which emerged from the interview data and builds on the existing research are:

- role overload and managing stress;
- professional support and the role of the advisors;
- the role of the deputy head;

- the relationship with school governors and parental involvement;
- the role of the headteacher as social worker.

Each issue will be commented on in turn. The training and development implications are highlighted in italics and are included in the model for headteacher development which is set out on page 180.

*1. Role Overload and Managing Stress*

The case studies of the twelve heads revealed that they all worked very long hours and were deeply committed to their schools. These heads were similar in their perceptions to those heads studied by Southworth (1995) who reported that they found that the job was all-consuming and that work was more a way of life than a role; it was an identity. Similarly in examining why the heads worked such long hours the present writer discovered that work for the heads was a central life interest; they rarely stopped being a headteacher, and the job took over their lives. The danger in this degree of commitment is that of work overload and, ultimately, job burnout. There is some evidence of this happening to a number of primary heads throughout the United Kingdom (Cooper and Kelly, 1993) and in particular a number of their neighbouring heads in the same LEA were leaving the profession due to job related stress as a result of work overload. With all the changes imposed since 1988 the heads reported that they found it difficult to deal with all the demands of the job to a standard satisfactory to themselves. These conclusions raise the question of whether the time the head has to put in to do the job is morally acceptable. The solution may require changes in government policy or improving the training and development provided for heads or a combination of both. This will be explored in more detail later in the chapter.

Development needs arising from stress related problems:

*Heads need to be aware of symptoms of stress and reflect on ways of coping with it. Some of the heads spoke about such coping mechanisms as sport, exercise, family etc. as ways that helped them cope with the stressful aspects of the job. Heads need to consider their roles, the management of time, delegation, the role of the deputy, support groups and to build into their lives methods of reducing stress.*

*2. Headteacher Support and the Changing Role of the Advisors*

In the interviews the question that elicited the most emotion and most comments was the one which asked the heads whether their relationship with the LEA's advisory service had changed. The data revealed that the level of support received from the advisors had changed drastically and was now minimal. This change was due to the purchaser-provider split and schools were either unwilling to pay for an advisory visit (which was the case for H8) or did not have enough money in the budget to pay for this advice (a point made by H3). This change has not been highlighted in earlier research and this may be due to the fact that this issue has only arisen very recently. The weakening of LEAs support in the wake of the reduction in the number of LEA advisors and for some schools the prohibitive financial costs of advisory services, leads to an increase of pressures on the heads.

When the heads were asked from where they now sought advice the answer consistently was that they were seeking advice from other heads. Where the cluster groups worked well, they provided help and support; where there wasn't an effective cluster group, the heads would talk to other heads on an individual basis.

*Once again the results illuminate the importance of group support. This recommendation for groups of heads to meet and reflect on their work has also been proposed by Southworth (1995) as one of the most effective approaches to headteacher development. In light of the declining role of the advisory service, which has not been highlighted prior to this research, the argument for group work is strengthened.*

*3. The Role of the Deputy Head*

One of the major recommendations of the School Management Task Force (DES, 1990) was that management training should become more school based and that schools should promote strategies for succession planning and career development. The implication of this is that deputy heads should be given every opportunity to experience the work of the head.

This data reveal that the heads judge that deputy heads in ten of the twelve schools were not interested in applying for headships. Although a separate study needs to be conducted on these deputy heads in particular, it is significant that the heads perceive their deputies as shunning headship and wishing to remain in their role of deputy head. The heads felt that their job had changed substantially and was now more managerial. As a result of these changes deputy heads were not interested in taking on this role as it involved a big increase in responsibility and 'hassle' for little extra money and it would be taking them away from teaching into management. There was also some evidence that deputies were being protected from the management aspects of the work as each had a full time teaching load and had to implement the changes brought about by the National Curriculum in their own classroom. There is a real danger that the roles of the head and the deputy are becoming so different that time spent as a deputy is no longer a preparation for headship, especially if the deputy *is not involved in the management* of the school. In the particular LEA where the investigation was undertaken there is the question of who will succeed these experienced heads when they retire if the deputies remain in their current roles.

There is also a major issue of the role of the deputy as this may be an important factor in helping to reduce headteacher stress. Southworth (1994) suggests that deputies should be responsible for at least one aspect of the school on their own; he concludes

" The future of primary deputy heads seems to lie on the role being re-thought and enhanced ..... assistant heads who are managerial partners with their headteachers and who sustain a strong interest in teaching and learning will ensure the old adage is true, two heads are better than one" (p.6).

There is the obvious problem of role overload for the deputy who has a full time teaching load and has to lead on curriculum issues and take on more management activities. This needs to be addressed as the role of the head and the role of the deputy appear to be getting further separated and as a result the role of the deputy as apprentice for headship is disappearing.

*Training and development for heads should include an examination of the role of the deputy and the issue of deputy head training needs to be addressed.*

***4. School Governing Bodies***

The governing bodies in most of the schools in the sample were performing supportive and advisory roles, rather than operating the accountability model put forward by the government. In all but one of the schools, the heads valued their good relationships with the governors and in particular with the chair of the governing body. Grace (1995) asserts that when the heads in his sample used the concept of 'good' governors it implied that 'good' governors gave no trouble; in this sample a similar observation could be made. In one of the schools two of the governors were operating without the trust or the compliance of the head and were seen by the head to be intervening too often in the day to day management of the school. This was leading to conflict between the head and the governors and as a result the head was spending more and more time dealing with the governors rather than managing the school. The head reported that this was a contributory factor in his decision to apply for early retirement. This case is a good illustration of how governors can adversely affect careers. Levacic (1995) stresses "Mutual trust and respect and clarification at a local level of the respective roles of board and executive are essential if governors' efforts are to bring benefits both to their school and to the education system as a whole" (p.40).

Eleven of the heads in the sample spoke of being lucky in having such good relationships with governors but all recognised that this could change quickly with the appointment of the 'wrong' sort of governor. It also reveals that in practice the government reforms had resulted in an increase of power for the head, as most of the heads were still in charge and the governing bodies were being strongly influenced by the heads. In socially deprived areas, such as the one in which this research was undertaken, there is a problem of finding governors with sufficient experience of management. As a result more power may be conferred on heads - they are seen as the people with the knowledge and experience. Although many heads welcomed the trust conferred on them by their

governors, this again is an area of concern as the head cannot necessarily look to the governing body for advice and help in management.

*There is a need not only for more governor training but also for the heads to reflect on the best ways to interact with their governors to benefit the school. There is need for school based governor training where the head and the staff are developed alongside members of the governing body. Headteachers need to negotiate an effective relationship with the school governing body.*

***5. Parental Involvement and the Role of the Head as Social Worker***

All the schools in the sample were located in one of the South Wales valleys and were serving a deprived area with high levels of unemployment, rising crime rates, increases in single parent families and a high percentage of children in the schools being eligible for free meals. The data suggest that the deprived nature of the area led many of the heads to take on a counselling role for parents on parenting and on personal problems. As family life breaks down the school increasingly offers some children the one secure place and possibly the only place where social skills may be developed. One of the schools which served the most deprived area included in the aims of the school 'to develop social order and self discipline in the children'. In addition the heads counselled the parents of these children and in some instances had set up classes for the parents on social and life skills. The heads reported that they counselled some of the parents on how to improve their support for the children and this was expanded to include advice on the personal problems of many of the parents. As the heads became more established in the community they perceived themselves as a source of stability and help and as a result the counselling role increased. This is an expanded role for schools, taking up the slack for failing families in the socialisation of the children and their parents.

Many heads may be reluctant to take on this social worker role in relation to parents as well as to children as they have had no preparation for this in their initial training or subsequently. The data indicate that it was almost impossible for the heads in the sample to avoid this part of the job especially as all the schools were based in a socially deprived

area. Also there was a feeling amongst these heads that helping to solve the parents' problems would help solve the children's problems and conversely not helping the parents would cause additional problems for the children.

There was little mention of this aspect of the head's role in the literature until the recent research of Webb and Vulliamy (1996); this data adds to and reinforces the findings of Webb and Vulliamy. There is no evidence in the literature that heads are trained to prepare them for adult counselling. The heads claimed that they had developed skills in counselling as a result of their experience and not from any training; they recognised that this was another aspect of their job that was unrecognised officially but was taking up their time and adding to their workload.

*The data from this research reinforce the need for school based social workers in primary schools in deprived areas. If this policy decision is not taken heads will need training and development in counselling in order to deal more effectively with the personal problems of the parents and the children .*

There is no doubt that parents in many ways are more involved in the school than they used to be and the heads in this LEA have been encouraged over the last ten years to adopt a more open door policy to parents. In all the sample schools parents helped in the library, prepared materials for the teachers, accompanied the children on visits, helped with the fund raising activities etc. Parents are also represented on the governing bodies and as a result are involved in the governance of the school. However, the majority of parents, other than those on the governing body, were reported by the heads as not being interested in the governance of the school and few attended the annual report of the governors. In marketing their schools heads reported spending an increasing amount of time talking to prospective parents and showing them around the school. The heads recognised this activity would probably take more of the head's time in those schools in popular catchment areas.

Heads also met parents regularly to discuss children's progress, changes to the curriculum, behaviour problems of children etc. and parents visited the school to complain and criticise. The most parent/headteacher contact occurred in the primary schools with a nursery and infant department as parents brought their children to and from school on a daily basis and would be more likely to visit the head than those parents of children in junior schools where they would be making a special journey to visit the head.

*Heads need to be trained in dealing with adults, skills of negotiation, persuasion, counselling, marketing and presentation skills.*

The results from the Repertory Grids supported the results from the group work and the interviews. The job elements revealed a mixture of educational and managerial elements and the constructs provided an insight into the heads' construct systems. The two most significant constructs were centred on children and the management of the school; heads were managing the schools through child-centred value systems and educational visions. *There is little mention in the management competences of the concept of the head as leading the school and providing a vision and should be taken into account in the professional development of heads.*

There was an opportunity to triangulate the data and the triangulation indicated agreement between the results from group work, interviews and Repertory Grids; details of the triangulation methods are set out in Chapter Three.

**An emerging model of primary headship**

Existing theory (Hughes, 1988) proposes a dual model of headship; the leading professional role and the chief executive role. Although Hughes stresses a close interdependency between the two roles, there are nonetheless two distinct roles proposed in this dual model. The data from the group work, interviews and Repertory Grids suggest that the dual role model is being superseded. The results from this small sample of primary heads tentatively support the concept of the new professional. The heads'

core values were educational and these values emerged in the interviews and were labelled as their philosophy of education. This was the lens through which they viewed their management role. There was a fusion of general management and education management ideas underpinned by a distinct value system and public service mission. The constructs in the Repertory Grid gave an indication of the heads' value systems. Management took up a large part of what they did; they took up a wider range of management responsibilities but there had been a complex and interactive process of adaption as the professional headteacher changed into a professional manager.

The responses varied from those heads who embraced the changes i.e. acceptors, to those who were working on the changes i.e. adaptors, and finally those who resisted and rejected the changes i.e. resistors. In both the acceptor and adaptor groups, the heads did not see their roles as attempting to replicate the general manager model; the heads were combining in-depth educational knowledge, their values and individual philosophies of education and their credibility as the leading teachers with management expertise. They were using professional values as the main drivers of some of their management actions. Their ultimate goal was that of improving the learning experiences of the children. There is no doubt that their focus was on children's improvement but the means to achieve that for most of them was by managing their schools effectively. It became clear that most of the heads were able to apply management concepts, techniques and skills in order to improve the school and the experiences of the children. Their management practices and procedures provided the vehicle for effective school leadership.

For the resistors there is a danger that expectations of parents, teachers and governors will be that the head provides the sort of leadership and management in order to deal effectively with change. Grace (1995) warns that, "For those headteachers who wish to resist the leadership/chief executive relation ..... there will be considerable pressures and dilemmas to be faced as market culture extends its influence within the schooling system" (p.41). It may be significant that the three heads identified as resistors had been

heads for the longest time, they had experienced headship before 1988 had internalised the role of the head and were most resistant to change.

Most of the heads had taken on the government's efficiency drive with an increased attention on financial control, a concern for value for money, getting more for less and a strengthening of the financial function as a result of LMS. They managed their schools taking into account an increasing emphasis on ideas of the quasi-markets, league tables, parental choice and new forms of governance with a change to the governing bodies.

The data indicate that school leadership is not subdivided into managerial roles and educational / professional roles, but it is an integrated professional approach where the same values drive both managerial and educational concerns. There was evidence that the heads had developed (or were developing) more managerial knowledge and skills mainly through experience and in so doing changes were taking place in their self image; many were happy to be referred to as the 'manager' of the school. The results reveal however that this change in self image does not mean that these heads *are being* transformed into general managers. They retain their professional and caring values but apply them in their managerial roles. The results do not support the idea of a process of deprofessionalisation but suggests a more subtle and complex process of adaption. The results complement the New Public Management ideology; the heads took on a management role but managed within an educational framework based on educational values and a vision for their schools. The head can thus be seen as a hybrid, a professional manager, performing as a manager but guided by the underpinning professional philosophy of education. The role is a more unified one than that suggested in Hughes' dual model.

The model arising from the data is congruent with the work of Hargreaves (1994) and Hall (1996) who propose that a new professionalism is emerging in headship. The data add to the wider debate within the public sector of the 'New Public Management' (Ferlie et al. 1996). Thus the thesis that emerges from the empirical data is that the role of the

primary head has undergone significant changes since 1988 and that this has resulted in a new model of primary headship; the concept of a new professionalism is proposed. There follows from this new model of headship a set of questions regarding the training and development needs of heads in the mid 1990s and into the next millennium.

**The Development Needs of Primary Heads**

The picture emerging from the research data is that the primary headteacher's role has changed from being the headteacher with leadership skills to one which combines a complex range of managerial and administrative roles with the ability to lead the school and the teachers. Heads have undertaken these changed duties with little or no relevant training and development available to help them to cope with the change. Training and development for new heads or continuing professional development for existing heads at present is not obligatory although the Teacher Training Agency is at present funding pilot projects for headteacher qualifications. This research proposes a model of training and development for headteachers.

The model of headteacher development that is offered as a result of the research findings, is in three parts: expertise as a technical skill - the competence model; expertise as the application of general principles and theories; and expertise through reflection in and on action. These are discussed in turn below:

*1. The Competence Model for management development*

The competency approach has been critiqued in Chapter Two, and an emphasis on competences to the exclusion of theories and critical reflection, is not advocated in this dissertation. It is, however, important to note that the converse may also be problematic; where there is little or no emphasis on performance and competences, there may be a failure to facilitate headteacher practice. Eraut (1994) argues for NVQ training as follows: "Its adoption corrects the current overemphasis on propositional knowledge and gives more attention to the process which determines the quality of professional action"

(p.118). Therefore a competency model is put forward as **part** of the professional development of heads.

This proposal is based on the results from the group work where the heads were able to map their work against the national management standards and to provide suitable evidence for assessment. The group work involved heads matching their work against performance indicators for middle managers; the results of this benchmarking supports the view that there are generic processes of management that are similar across a variety of contexts. The heads were able to match their work against all four key roles of managing people, finance, operations and information. Chapter Four provides an analysis of the group work and headteachers' reflections on their work. A management tool kit is detailed and is proposed as part of the development for aspiring headteachers or recently appointed heads. Possessing the competences detailed in the management tool kit will enable heads to deal with the daily struggle of managing operations, finance, people and information of the school. It could be argued that there is no longer a place for the head to be a professional as an educator but an amateur as a manager. The work of the head is that of a manager plus that of an educational leader. As Hargreaves (1996) observes, "Schools and teachers are being affected more and more by demands and contingencies of an increasingly complex and fast-paced post modern world. Yet their response is often inappropriate and ineffective, leaving intact the systems and structures of the present, or retreating to comforting myths of the past" (p.23). Schools are not businesses and children are not products; however the data from the group work reveal the leading and managing of a company is not unlike the leading and managing of a school in terms of the generic competences contained in the management standards. It is important that the heads have appropriate training and development in order that they may respond appropriately and effectively to the demands and changes.

Although there was full agreement amongst the heads on the generic management competences which were needed, they felt that the standards lacked a broader organisational context of the education sector. The competence approach does not fully

deal with the leadership issue and omits the very important issue of providing a vision for the school and getting people to internalise the vision. There is also a danger that the theories and principles of management are overlooked in the competence model where the emphasis is on output and performance. There is a particular problem that the decisions heads make about whether and when to employ a particular skill, those aspects of decision making that are hallmarks of an expert, are overlooked in the competence model.

Heads may learn techniques of management, but without the underpinning knowledge and rationale it could be argued that they would find it difficult to improvise in unpredictable situations. Definitions of headteacher expertise that only focus on units of observable behaviour miss the intentionality of practice. The simplicity of the competence model fails to consider the whole of the professional practice of headship. Nonetheless identifying **generic *management competences*** *for heads is a starting* point in their development in this new role. The data suggest that this should be supplemented by those **competences specific to the education sector** and written in a language that is easily understood by those employed in this sector. Finally the competences should include those **competences relevant in a particular school,** based in a particular area; some of the tasks that are undertaken by heads in areas of high social deprivation appear to differ from tasks undertaken by heads serving an affluent area. These additional education/school competences emerged in the interviews with the heads and are detailed in Chapter Five.

***2. Conceptual Knowledge***

There needs to be a range of educational and training opportunities in education management to underpin the management competences with theories and general principles. The most important reason for advocating the development of a base of theories and general principles is that heads need to solve problems and make decisions in ambiguous situations. Through the appropriate conceptual knowledge, expertise will be complement the competences which involve applying skills against specific

performance indicators, to recognising situations in which it is appropriate to do so. Ideally these inputs should have a flexible delivery pattern, be modular and credit rated for those heads who wish to gain a qualification in education management. Flexibility is a key word as there may be particular problems for teaching heads to get time away from school during the school day. It is important that multi-modes of delivery are considered.

The main aim of this provision would be to underpin and improve performance; the value of internalising concepts is that the learning occurs when one puts the theories and concepts into practice. This issue of transference is always difficult, and there may be problems in helping inexperienced heads see the relationship between general principles and particular situation. There is the problem that new heads may not see the relevance of theory until they have practised as a head for some time. In addition there are important contextual issues, as Eraut (1994) emphasises: "The nature of the context affects what knowledge gets used and how" (p.20).

Both the competence approach and the conceptual knowledge approach entail prescriptions for action; in the competence approach prescriptions are derived from empirical investigations into practice and in the conceptual approach they are derived from theory. Heads may have difficulty interpreting any theory of management and the management standards could be interpreted as another theory of management, albeit abstracted from practice. Both approaches may be described as mimetic forms of knowledge, that is it is independent of the owner. This leads to the recommendation for the third approach to professional development, that of the reflective practitioner.

*3. Reflection*

A major task facing the heads during these changing times is to analyse situations in the context of action what Schon (1987) describes as reflection in and on action. Experience can only contribute to expertise if one is capable of learning from it. The group work with the heads allowed them the opportunity to reflect on their work and to share both good practice and problems with the other heads in the group. The value of these groups

should be emphasised with a concentration on reflection to facilitate learning for the head. Heads should be encouraged to reflect on their role and the group work allows them the opportunity to examine critically their actions and the consequences of those actions. Groups of heads could usefully be formed as a development activity; these could be based on the existing cluster group arrangement of those primary schools feeding into a specific secondary school, or groups could be formed which take account of the length of experience of the heads. The group work in the research revealed that the greatest benefits from the heads meeting to reflect on management competences was in fact from the group work per se. The group work provided an opportunity for the heads to sit together and reflect on their work and the problems of the day and reflect on action, critically analyse, share good practice and support each other. Thus in addition to continuing professional development through INSET courses and courses provided by colleges, the heads wanted more opportunity to reflect on their experiences with their colleagues.

Throughout the research it has become clear that the heads valued very highly the support they received from other heads and from their cluster groups of heads. Supportive, reflective groups of heads could fulfil a range of professional and managerial training needs by meeting together and sharing their experiences and knowledge. There is a potential danger that as a result of the publication of SATs results and the formation of league tables for primary schools, the market culture will inhibit the collaborative professional culture. The heads were aware that the ethos of co-operation was fragile but they all believed that they would maintain the collaborative culture. It is important not only for heads' professional development but also for their well being that the support from groups of heads is strengthened. It is important to note a possible danger in education (where management training and development has not been the norm) for heads to become too dependent on past experiences without applying any critical reflection. The heads' management experiences need to be organised and linkages need to be made and awareness of improvement in their practice highlighted. By sharing experiences, the experiences became more explicit and as a result it became easier for

the heads to challenge traditional assumptions. Reflective group work enabled the heads to acquire new perspectives on practice.

The former government and the present government have put forward proposals for headteacher training. Blunkett (1997) outlines the Labour Government's response to headteacher development as follows, "We proposed to boost the leadership and management skills of heads with a new qualification, incorporating the best of an MBA and NVQ level five". The Conservative Party has also put forward a similar model with an emphasis on outcomes and competences. Blunkett continues by stressing that "The purpose is not simply to ensure that heads have the chance to acquire managerial competence and leadership skills. It is also to give those teachers with such aptitudes the chance of a fast track to becoming a head. We would also develop a new grade of advanced skills teacher for those who did not want to enter management".

There is a danger that the government might miss the importance of reflection by highlighting both the competence model and the theoretical approach. The task for the head is not just problem solving but problem setting, taking as a starting point the fact that goals change over time and analysis occurs in the context of action. It is important that there is an interactive relationship between analysis and action, such that each influences the other. Leadership should be viewed as a critical and reflective activity and from the critical reflections the heads evolve their own philosophy of action. Murgatroyd and Gray (1984) emphasise that training for leadership should not be normative, prescriptive, skill-based or problem centred. They stress the importance of focusing upon the personal and interpersonal qualities of the person. The reflective practitioner model helps achieve this. As a result of the research a model for Primary Headship Development is proposed.

The model is based on a combination of three approaches: competences, conceptualisation and reflection. It is a basic tenet of the model that this integrated approach overcomes the limitations of the separate components. The model is

underpinned by the need for heads to reflect and as a result it will produce grounded theories of headteacher expertise. This model for headteacher professional development does not deny the value of competences or general principles but argues that both contribute to improved practice in headship. There is also analysis occurring in the context of action, and the work of a university or other provider of development is to facilitate opportunities for heads to meet together and critically examine their practice and learn from it. The underlying assumption is that the role of the provider of professional development in this approach is interpretative rather than prescriptive. The case is being presented for a change in the relationship between universities and those seeking headteacher development. It is important that universities become more learner-centred; this is a challenge at a time when universities are being encouraged to teach larger classes and there is an emphasis on efficiency. Nonetheless universities offering headteacher development need to include in their programmes the following characteristics :

1. Headteachers should work in groups on the programme.

   Social context is very important to learning; this emerged in the group work and is supported in the literature (Southworth, 1995). Group support is particularly important given the relatively isolated nature of the headteacher's role.

2. Programmes should be offered at times and places convenient to the heads.

   There needs to be a move away from long programmes to more flexible provision, accredited short courses and setting up and facilitating groups of heads involved in critical reflection of their roles and changes to their roles. Programmes of continued professional development planned jointly with the profession should be offered and problem focused seminars utilising the experienced heads expertise should be organised.

   In addition research on learning indicates that learning is enhanced with access to role models to imitate; that is, observing other heads helps the

inexperienced head picture how the ideas appear in use. This could be facilitated by the university in the setting up of teams of experienced heads who would work with new heads. The potential benefits from mentoring by experienced heads should be highlighted and should form part of any development programme for new heads.

3. Using headteachers' experiential base

   It is important to give credit for prior learning and prior experience and to build on the headteachers' experience. Universities should not teach heads what they already know but rather to teach them what they need to know.

4. Providing development opportunities when they are needed.

   Headteachers have different development needs at different life and career stages and headteacher development needs to take this into account. Heads should be able to choose from a range of options, depending on their needs and development priorities. This element of choice reflects the best principles of adult learning. It is important to provide lifelong learning or continued professional development in the context of the varying career stages. It is not sufficient to provide an initial programme for new or prospective heads; this needs to be continued throughout the stages of a head's career. Indeed, experiential learning theory (Kolb, 1984) contends that storing knowledge and abilities long before they are used will not result in learning "but merely cobwebbed, overfilled storage bins in the mind" (Boyatzis et al. 1995). New technology, computer interactive e mail and video conferencing offer new possibilities for just - in - time learning. This is an area for further research.

In short universities need to be more learner-centred, more responsive, more flexible and feel comfortable in shifting the place of learning and challenging traditional assumptions of knowledge.

**A Model of Training and Development for Primary Heads**

In this model of training and development there is not a single universal method of learning proposed. The model should be viewed holistically, within which many different ways of learning can flourish and integrate. Within this holistic framework there are three major categories of staff under consideration :

**Aspiring headteachers** who require a planned programme of preparation for headship which begins with an assessment of managerial skills and knowledge and from this assessment, a development plan is created for each aspiring head. Core courses in general management need to be offered by the universities and the LEAs and these courses provide an opportunity for the aspiring heads to practise aspects of headship through simulated management exercises. Groups of aspiring heads could meet with experienced heads to reflect on the nature of headship and visions and values.

**Newly appointed headteachers** who require a planned programme of induction and support through mentoring by experienced heads. Management development would involve the application of theories to their practice as a head and heads would put together their portfolio of evidence against the management standards. Groups of new heads working with an experienced head would meet to reflect on practice.

**Experienced headteachers** who require a programme of updating and continued professional development. Groups of experienced heads would meet to reflect critically on their experiences and they would be involved more in problem setting.

Central to the model of training and development for primary heads are visions and values. There is no evidence from the research data or in the literature that the central values of primary heads are changing from educational values to market led values. It is therefore important for school leadership that educational values and vision are developed in heads. It is proposed that through critical reflection by groups of heads that visions and values can be analysed. Vision and values provide a foundation, a central

core on which other training and development is built upon. The appropriate award that could be associated with this critical reflection would be action research projects leading to Master in Philosophy or action research Doctorates. It is anticipated that these reflective groups of heads would meet throughout their career and this would not discontinue on gaining an academic award.

Next in the model expertise is gained by the application of theories and concepts. This involves attendance at courses involving more formal learning. Courses need to be provided on general management, education management and professional updating courses on education and teaching initiatives. The appropriate awards associated with this formal learning could be MBAs, MSc. in Education management, MA in Professional Development in Education and accredited short programmes which could lead to one of the above awards. Professional updating courses would continue throughout the head's career.

Finally expertise is gained by groups of heads and prospective heads working together on the development of management competences, education sector specific competences and specific school competences. The awards associated with the competence approach could be NVQ level 5 in management plus an examination of education sector competences and school/individual competences. Experienced, competent heads could act as advisors to the groups.

| FOCUS | TARGET GROUP | METHODS | AGENCIES |
|---|---|---|---|
| ***Competences In:*** | | | |
| Generic Management and Sector Specific Management | Aspiring and New Heads | NVQs in Management Group Work with Heads | Collaboration Between Experienced Heads and Universities |
| Specific School Management | New Heads | Whole School Group Work<br>School Based Projects | Experienced Heads as Mentors |
| ***Theories and General Principles:*** | | | |
| General Management and Education Management | Aspiring and New Heads | MBA, Masters in Education Management | Universities |
| Professional Up-dating | Experienced Heads | Accredited Short Courses | Universities and LEAs |
| ***Visions and Values:*** | Aspiring, New and Experienced Heads | Action Research involving Critical Reflection with Groups of Heads. | Collaboration between groups of Heads, LEAs and Universities. |

In conclusion it is recommended that heads and those aspiring to headship need appropriate training and development; a model for primary head development has been proposed. Experienced heads who have adapted to the demands of the new role should be used as mentors for new heads. Heads need more time to manage their schools; this could be made available by re-defining the role of the deputy head and also by re-defining the role of the school secretary to that of school administrator. The deputy needs to be more integrated into the management of the school and the secretary should be undertaking more of the administrative activities. The heads need to have around them support mechanisms and the use of the cluster group or other groups of heads would help fill the gap the advisory service has left. The internalisation of the role of the new professional head as manager, a sharing of the tasks with the staff and support from other heads would help reduce the stress levels that many heads of primary schools are experiencing at present. Job burnout as a result of trying to do everything themselves is a real threat to the health of many primary heads. It is important that they are trained and

developed in appropriate knowledge and skills and reflect and learn from their actions in order that they manage their schools more effectively without ruining their health in the process. Further details of the content of the proposed training and development are contained in Appendix Four.

**Future research**

There is a need for further research; the areas for consideration have been raised in the empirical data so will be dealt with briefly in this section.

First, there is a need to explore across a larger sample of heads, at different stages and with differing amounts of experience of headship, perceptions of their roles and to gain an appreciation of the development needs of heads at each stage of their career. In the research the three heads who were most resistant to the changes had been longest in post; this raises the question of whether new heads would be more receptive to changes as they will not have experienced the 'way it was'. New heads may have different expectations, be more accepting of changes and as a result will be taking on the role of the headteacher with a clearer knowledge of what to expect. Research on heads new in post needs to be undertaken. There is also the issue of whether heads from schools serving different socio economic areas will have different training and development needs. In this research there were additional competences such as disturbance handling and counselling parents which appeared to be emphasised as a result of the schools being based in an area of social and economic deprivation.

Second, the research indicates that the dual model of the leading professional and the chief executive is not as polarised as Hughes (1988) suggests. The New Public Management model is put forward as the more appropriate emerging model of headship; this needs further research.

Third, the role of the deputy head needs further research. There appears to be a greater separation between the role of the deputy head and the role of the head since the

introduction of the National Curriculum and LMS. The deputy head operationalises and manages the curriculum and retains a full teaching load whilst the head manages the school. If this separation between the roles is typical, the issues of succession planning and progression need to be addressed. It appears from the research that deputies are becoming reluctant to take on headship; this is a matter of concern and needs to be explored further.

Fourth, the head's relationship with governors needs to be examined and the **joint** training needs of the head, the staff and the governors needs to be explored.

Fifth, the changing relationship between the heads and the LEA's advisory service needs further research. There is evidence that the head is offered less support from the advisory service than they received in the past and this is a particular problem for small schools who are unable to pay for this support.

In conclusion, the headteacher role is in a process of fundamental change; many of the heads in the sample saw their roles as managerial and believed that improved management performance would lead to improved schools. The primary head of the late 1990s and into the millennium is a hybrid, a professional educator and a manager. This is not necessarily a dual role as there is not a sharp separation between professional duties and management duties. The head manages but the management performance is guided by an underpinning of professional educational knowledge and practice. It is important that the professional development needs of this new hybrid head manager are provided and this research provides a model for such professional development. The issue is not competence versus professionality but is conceptualised as the new professional head, a hybrid who requires competences in management, a conceptual framework in education and management and through critical reflection in groups, heads will develop leadership and management theories -in-action and on-action.

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# APPENDICES

# *Appendix One*

## ASSESSING HEADTEACHER COMPETENCE

### 1. The National Educational Assessment Centre (NEAC).

This project was started by the Secondary Heads' Association and Oxford Polytechnic in 1990. The main aim of the NEAC project was to improve preparation of individuals for headship by focusing on the assessment and development of key competences required for effective management in schools. The pilot phase (1990 - 92) included the assessment of just under one hundred teachers, mostly deputy heads from 25 LEAs. There are four main components of the Centre, these are :

Identification of the management competences required for success as a head.
The design of job-related exercises to assess the competences.
Assessment of performance.
Further professional development.

The competences used were developed in the USA and modified to take account of cultural context. There were twelve competences identified which are, problem analysis, judgement, organisational ability, decisiveness, leadership. sensitivity, stress tolerance, oral communication, written communication, range of personal interests, personal motivation and educational values. These twelve competences have been reviewed and compared with other models and a revised list has been prepared (1992). Four new competences have been added; these are a cluster of behaviours to include creative problem-solving, divergent thinking, entrepreneurship and risk taking; development of awareness of self, of others and of the institution; pedagogic leadership; and finally boundary management or extra-organisational awareness.

### 2. Development of bespoke management competence models

*(a) The North West Project*
The North West project aimed to establish a programme of development and training for senior and prospective managers in schools. The project started in 1989 and ended in 1991. The following core competences were identified as appropriate for school management : vision, persistence, planning skills, critical thinking, stress tolerance, leadership skills, influence skills, confident self-image, interpersonal relationships, empathy, and capacity for self-development.

*(b) The Cleveland Project*
The Cleveland LEA established the Cleveland ICI Head Teachers group in 1978; this group comprises headteachers with an ICI training manager and meet around six times per year to consider matters of mutual interest about management. Between 1990 - 1992 the group considered management competences and arrived at seven critical

competences: initiative, analytical thinking, positive self-awareness, strategic influencing, and assertiveness.

*(c) The East London Project*
An assessment centre was formed in 1991 in collaboration with Saville and Holdsworth who are occupational psychology consultants. The initial work was based on job analysis of sixty headteachers. The competence model on which this project was based on was that of the work published by Boyatzis (1982) in the USA. The assessment criteria included, organising/planning, reasoning, people orientation, influence, communication, job-related knowledge, political awareness, and decision making.

## 3. Projects using the MCI standards

*(a) The Norfolk and Kent Project*
The College of Preceptors in 1991 developed a competence based management qualification for teachers and trialled this in Norfolk and Kent. The programme used the MCI management standards and the participants were able to achieve NVQ level 4 in management, during 1992 a second level qualification was developed in accordance with the MCI standards at level 11 (NVQ level 5). The college did not adapt the management standards, to enable teachers to gain a nationally recognised generic management qualification. The target participators were not headteachers but holders of co-ordinator posts and deputy heads.
The aims and objectives of the programme were :

- to enable teachers to obtain a recognise management qualification without any barriers to access.
- to provide a coherent framework for development.
- to make effective use of the workplace as place for learning and development.
- to ensure teachers have transferable competences as managers, fitting them to operate effectively in a variety of roles, both within and outside education.
- to provide a structure for credit accumulation and for the recognition for credit for relevant experience gained outside teaching.

The reactions from the participants were positive; the project team identified a number of advantages. These were that this process was more cost effective than the traditional taught courses as there was no need for absence thus avoiding staff cover. There were benefits for the school as well as the individual. Tasks could be linked to School Development Plans. The tasks were related to daily practice and relevant; and finally that the course provided nationally recognised accreditation.
A problem identified in the Kent project was one of teacher perception; teachers and some headteachers saw themselves as classroom, curriculum or budget managers. Many of them had difficulty with the notion of being referred to as a school manager. If a

management development programme is based on the MCI standards this immediately poses a problem as the standards throughout refer to what a manager does. The project data notes that those teachers who found this a perpetual problem withdrew from the programme or did not submit their portfolio.

*(b) The Calderdale Project*
Calderdale LEA, in association with Qudos management consultants, piloted the MCI level M1 standards for managers. The pilot group consisted of 24 teachers (department heads, deputy heads from secondary schools, primary school heads and deputies and officers from the LEA). The next phase of the work with teachers involved the trialing of the MCI, M11 standards.

Candidates found the language of the standards difficult initially; but gained in confidence as they realised that their management role was equal to that of managers in other sectors. Jagger (1991) comments on the fact that the management of learning and the learning environment is not easily accommodated in the standards. He also stresses that the hierarchical nature of the MCI model is different from the management style and practices in schools. It is also noted that completing the management portfolio demands an enormous workload for the teachers.

*(c) The Manchester Polytechnic Project*
This project which started in 1991 used the MCI management standards at level M1 in order to develop the management competence of teachers. The survey involved over one hundred teachers from primary, secondary and further education. The aims of the project were :

- to assess the applicability of the standards to the work of teachers.
- the degree to which the standards assist the identification of training and development needs.
- ways in which participants can be helped to develop knowledge and understanding to match future as well as present demands.

The conclusions from this project revealed that the MCI standards provide a comprehensive, valuable and usable framework for accrediting prior experience and giving recognition for work undertaken within organisations. The MCI standards had a high face validity and appeared relevant and comprehensive in an educational context. The approach offered the linking of individual and organisational development. It was felt that with the emphasis on inspection and benchmarking the MCI standards provide an appropriate framework. Concerns were expressed about the time consuming nature of collecting evidence and there is a danger that the aggregation of evidence becomes an end in itself rather than leading to learning opportunities. The evaluation report concludes that the approach appears to favour the organised and documented manager with well-ordered filing cabinets.

## 4. Development of specific management standards for schools (modified versions of the MCI standards)

*The School Management South Project*

School Management South is a regional consortium set up in 1988 to develop a more strategic approach to school management development. The consortium set up the School Management Competence Project which was a two year project to analyse the functions of school management in order to derive standards which define what is expected of effective management performance in schools. They produced the School Management Standards which are expressed like the MCI standards, in outcome terms, key purpose, key roles, units of competence, elements of competence, performance criteria and range statements. The key purpose is 'create, maintain and develop the conditions which enable pupils and teachers to achieve effective learning'. The school management standards identify four key roles - manage policy, manage learning, manage people and manage resources. The development of the SMS standards aimed to maximise congruence with the MCI standards 'where the evidence allowed it' and as a result the relationship is a close one. Twenty three of the elements are adapted from the MCI standards and there is a lot of overlap between the two sets of standards.

While the concern of all these initiatives is to improve school management, there is a disappointing level of consensus in the results of the research as to what constitutes effective headship, or how it may be developed.

## *Appendix Two*

**INTERVIEW SCHEDULE**

The interview was semi-structured and the questions focused on the following five themes

Background to the school.
Background to the head.
The head's relationship with others.
Changes influencing the work of the head.
Skills, knowledge, competences needed for headship.

Each of these themes will be examined through a number of open-ended questions and if necessary further prompt questions will be utilised. The suggested open-ended questions are :

**Background to the school**
Size of the school, age and state of the building, socio-economic catchment area and general historical background to the school and its surrounds.
Aims of the school.
Organisation and management structure of the school.
Organisation and management of learning in the school.
Biggest problems facing the school.

**Background to the head**
Head's career history, why did you want to become a teacher and a headteacher?
Who has influenced you most, who have you learned most from in being a head?
What is your personal philosophy of education?
Attitudes to your job - likes/ aspects of the work you find rewarding and why, dislikes, difficulties, frustrations. How do you see primary headship describe what it is like, what are the key characteristics?
How far does the job centre in your life- hours you work?
What motivates you to work as hard as you do?

**Changes in relationships with others**
Teaching and non-teaching staff.
Deputy head.
Governors.
Parents.
Children.
Advisors.
P.T.A.
Community.
How did you learn how to interact with these different groups of people?

**Changes in the role of head**

Has your job changed - if yes in what ways has it changed, positive changes, negative changes?

What has been the most significant change with regard to your role as head?

Depending on the changes mentioned additional questions may introduce attitudes to LMS and the national curriculum.

**Skills, knowledge and competences needed by heads**

What are the mains skills/abilities needed by heads? How did you acquire these? How did you learn how to be a head?

What does it feel like to be a head, what dilemmas do you face?

What did you find most difficult when you first became a head? How did you overcome these difficulties?

What training did you receive when aspiring to headship and when you became a head? If none or little ask how they knew what to do, what models of behaviour were they using?

How do you think new heads ought to developed/ trained? What do they need to know?

What competences does a head need?

How do you see yourself - as a teacher or a manager or a combination of both? If a combination in what balance?

How do others see your role - staff, parents, governors?

Has your approach to headship changed over time? In what ways?

What is your perception of your leadership style?

What is the role of the deputy in your school? Are you preparing them for headship? Are they applying for headships? If not why?

In addition in group A i.e. the heads undertaking the NVQ in management were asked to reflect on the appropriateness of the standards to primary heads, also to comment on the extent to which their work matches the standards. Is there anything missing from the standards that forms part of their work?

*Appendix Three*

**THE CONTEXTUALISED MANAGEMENT STANDARDS**

## I. MANAGE OPERATIONS

| **1.1 Identify opportunities for improvements in services, products and systems** | Opportunities for improvement in any aspect of the head's role - work practices, teaching methods, new equipment, new texts etc. | Evidence of proposed change to improve the effectiveness and efficiency of the school |
|---|---|---|
| a) Relevant, valid, reliable information from various sources on developments in materials, equipment and technology is accessed and analysed for its significance at appropriate time intervals. | Materials include reading schemes and other books; computer technology- WOMPI initiative. Information is sought from advisory service (edits dept.), book reps., and conferences | Details of In-service training programmes. Record of attendance at conferences. WOMPI information sheets. |
| b) Information on developments is disseminated to the appropriate people in a manner which is likely to promote its value. | New initiatives are discussed in a variety of meetings. | Minutes of staff meetings, governing body meetings, special cluster meeting. |
| c) Information is related to current practices and used to identify opportunities for growth in operations and improvements in quality. | Changes that are not imposed by external bodies are considered and opportunities for improvements in teaching and learning are examined | Examples of inset courses for staff and headteacher training. IIP initiative. WOMPI inset course. Heads conferences. School audit of inset needs |
| d) Operations are continuously monitored and evaluated and where improvements can be made the necessary action is taken. | Monitoring and evaluation procedures. Head's monitoring role. Appraisal. | Monitoring sheets, staff evaluation sheets, appraisal forms, evaluation of inset forms, curriculum co-ordinators monitoring forms. |
| e) Obstacles to change are accurately evaluated and measures to alleviate the problem implemented. | Obstacles might include staff resistance to learn new skills e.g. information technology, or Welsh as required by National Curriculum- Retraining | Inset arrangements, personal report of staff counselling. |

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| f) Evaluation of the outcomes of previous developments is used for improvement. | Evaluation of operations to inform following school year | Monitoring sheets, school development plan. |
| **1.2 Evaluate proposed changes for benefits and disadvantages** | | |
| a) Information on current and proposed services, products and systems is complete, accurate and available. | A variety of school services could be commented on- transition, school curriculum | Schemes of work, policy statements, SAT results, transition sheets. |
| b) The advantages and disadvantages of current and proposed services, products and systems are accurately compared. | Again dependent on the service(s) chosen comment on National curriculum or transition, or LMS | Parent satisfaction questionnaire, SAT results, analysis of results, transition improvements, |
| c) All relevant implications of introducing any changes are accurately assessed using appropriate methods of analysis. | Assessment of change given as examples- change of format of school day, change in transition arrangements, new schemes of work, team teaching methods, change of I.T. | Personal report, minutes of meetings where change was discussed. |
| d) Proposed changes take account of previous evaluations. | Previous evaluation of any of the above changes are noted. | Previous documented change - governing body minutes etc. |
| e) Recommendations from evaluations are passed on to the appropriate people in a form and at a time suitable for their needs. | Appropriate people include teachers, governors, parents. | Staff, governing body and parents meetings - minutes and personal account |
| f) Responses to recommendations are analysed and the appropriate alterations made where necessary. | Analysis of responses from the governors, staff, advisors, parents and children. | Personal report |
| **1.3 Negotiate and agree the introduction of change** | | Examples of negotiations in formal meetings, informal meetings, by correspondence. |
| a) Information on projected change is passed on to the appropriate people with minimum delay and in sufficient detail for them to evaluate its impact on the area for which they are responsible. | A variety of changes could be used from proposing to change equipment- photocopier, change in training- initial teacher training, cluster group training, changing non teaching staff duties etc. | Details of new initial teacher training arrangements, monitoring sheets, minutes of cluster meetings, job description changes. |

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| b) Negotiations are conducted in a manner which maintains good working relationships. | Report on how changes are negotiated in schools | Personal report, witness testimony |
| c) Agreements reached include implementation plans at the necessary level of detail and are in line with organisational strategy. | Details of transition | Transition arrangements |
| d) Records of negotiations and agreements are complete, accurate and legible and passed on to the appropriate people. | | Records of transition between primary and secondary schools. |
| e) Where compromises are made, these are mutually acceptable and consistent with organisational practices and strategies. | | Witness testimony, personal report. |
| f) Where the manager is unable to secure the changes which s/he anticipated, the reasons for this are conveyed to the relevant staff in a positive manner. | | Minutes of meetings where change has been blocked. Letters. |
| g) Relevant people are encouraged to understand and participate in any changes made. | | Governing body, cluster group, parents, staff - minutes of meetings. |
| **Implement and evaluate changes to services, products and systems** | | |
| a) Relevant details of implementation plans are communicated in a manner, and at a level and pace appropriate to those concerned within agreed time scales. | Communicating plans effectively to different audiences - teachers, parents, governors, children. | Personal report on how you communicate plans at the appropriate level to a variety of people with very different levels of comprehension. |
| b)Resources are used in the most effective way to meet the requirements of modified service or product specifications. | | |

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| c) Changes in services. Products and systems are monitored in accordance with implementation plans and agreed delivery specifications. | Changes may be monitored in : personnel requirements- losing a teacher, team composition- move teachers to teach different age groups, work patterns, new equipment | Monitoring forms, minutes of staff meetings, personal record, witness testimony. |
| d) Outcomes of changes are evaluated against expectations and previous service/production records. | Evaluation of change | Personal report of what was and what could be. |
| e) Implementation is suitably modified to resolve any problems arising. | | Examples of modification |
| **1.5 Introduce, develop and evaluate quality assurance systems** | | |
| a) Recommendations for establishing quality assurance systems optimise the use of resources and are based on criteria derived from customer agreements and requirements. | Quality systems include monitoring systems, appraisal systems, fortnightly planning, creating school policies | Personal account, planning forms, monitoring forms, appraisal documents. |
| b) Appropriate members of staff are encouraged to assist in the development of quality assurance systems. | Developing the role of the curriculum co-ordinator and subject leaders in monitoring and ensuring quality | Personal account, witness testimony from staff |
| c) The establishment /modification of quality assurance systems is communicated to those affected in the correct order and at the right time. | Agree focus with staff | Minutes of staff meetings |
| d) Benefits and results of assuring quality are publicised to enhance employee commitment and customer satisfaction. | Feedback from curriculum co-ordinators to the staff | Minutes of staff meetings, development plan |
| e) New or modified systems are monitored over time and, where necessary, changes are made. | Monitoring of co-ordinators role termly, modifications made to systems e.g. Modification of planning forms. | Before and after modifications to planning forms, modifications to assessment forms. |

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| **2.1 Establish and maintain the supply of resources into the organisation/ Department** | | |
| a) Records of suppliers and of supplies are monitored for completeness, accuracy and legibility and the appropriate action taken where necessary. | Record keeping of supplies often undertaken by the secretary and overseen by the head | Records of suppliers /supplies, invoices, job description of the secretary |
| b) Market and economic trends affecting supply are identified and brought to the attention of the appropriate people. | This could refer to the supply of materials when the best value is tendered from contractors, or it could refer to the supply of children to a particular school. | Invoices and tenders from contractors. A description of the market and economic forces affecting the supply of children e.g. The trend to send children to Welsh medium schools affecting supply. |
| c) Records of negotiations and agreements are complete and accurate and passed on to the appropriate people for action as soon as is practicable. | There is the Dessa package, the secretary's records, estimated school numbers. | Example of Dessa package, statistics forms on school numbers. |
| d) Communications with suppliers are conducted in a manner which promotes goodwill. | Good relationships set up with suppliers. | Witness testimony from suppliers, personal account. |
| e) Where there is information to suggest potential or actual problems with supply, the appropriate corrective actions are taken with minimum delay. | | Personal accounts when there is a problem with supply. Projections of pupil numbers and scenarios detailed in anticipation of a short-fall. |
| f) New sources are identified and developed to maintain and improve service and product delivery. | Invitation of bids from other suppliers, from reps. And educational catalogues. | Letters to and from suppliers. |
| 2.2 Establish and agree customer requirements | | |
| a) The benefits and features of services and products are explained in a manner, and pace appropriate to the customer. | Parents may be considered as customers and they gain information by newsletters, parents evenings, school brochures. | Examples of newsletters, school brochure, agenda and minutes of parents evenings. |

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| b)Customers are encouraged to discuss their requirements and to seek clarification wherever possible. | Parents evenings are used for a variety of purposes but whatever the purpose parents are encouraged to attend and ask questions | Minutes of parents meetings, informal meetings with parents- personal records of these meetings |
| c) Communications with customers are conducted in a manner which promotes trust and goodwill. | | Descriptions of ways in which you promote trust and goodwill |
| d) Agreements satisfy legal and organisational requirements. | Knowledge of the laws relevant to education | Health and safety at work act, children's act, education acts etc. |
| e) Past negotiations are evaluated and the results used to improve future negotiations. | Evaluations of parents evenings | Minutes of staff meetings, parental questionnaires |
| f) Specifications agreed contain all relevant and essential information to allow operations to meet customer requirements. | Information detailed in school brochure, letters to parents | School brochure, letters |
| g) Agreements optimise the price and market objectives for the organisation whilst meeting the requirements of the customer. | Policies and schemes of work. | Policy documents. |
| h) Recording systems contain all relevant information related to customer agreements and implementation plans. | Audit and school records | School records. |
| 2.3 Maintain and improve operations against Quality and functional specifications | | |
| a) Specifications are checked for completeness and accuracy and the appropriate remedial action taken where they are not to standard. | National curriculum are examples of educational specifications. | National curriculum details |
| b)Implementation/ modification schedules and plans for which the manager is responsible allow the quality and functional specifications to be met. | Implementation of the national curriculum in your school. | Teaching plans to deliver the national curriculum |

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| c) Specifications are disseminated to all relevant people and are in accordance with any implementation schedules and plans. | Communicating the national curriculum to staff, parents, children and governors. | Staff development relating to delivering the national curriculum; parents evenings to explain the n.c.; Governing body minutes |
| d) Operations are adequately monitored and fine-tuned to ensure that customer requirements are met. | Monitoring the delivery of the n.c. By teachers. | Monitoring forms |
| e) Existing and/or additional resources are optimised to satisfy operational requirements. | Resource allocation to support the n.c. | Staff development expenditure; expenditure of physical resources to support the delivery of the n.c. |
| f) Staff are given feedback on operations and outcomes and are encouraged to take responsibility for meeting customer requirements. | Informal and formal staff feedback | Appraisal records, descriptions of informal feedback mechanisms |
| g) Feedback from customers is sought and used to inform future operations. | Feedback from parents, governors, children and staff | Minutes or descriptions of parents evenings, governing body meetings, staff meetings and school reports |
| h) Appropriate measures are taken to minimise factors which may cause operations to be disrupted. | Where staff are having problems delivering the n.c. There may be training needs or if supply cover is used these staff are reliable and up to date with the n.c. | Staff development and inset details; supply cover arrangements |
| i) Corrective actions are implemented without delay and relevant staff and customers informed of any changes which affect them. | In cases where there is deliberate disruption by staff it may be necessary to use disciplinary procedures | Details of disciplinary procedures |
| j) Corrective actions are monitored and evaluated for their effectiveness and used to inform future actions. | Monitoring and evaluation of those staff needing n.c. Training | Monitoring forms |
| k) Records relating to the quality of services and products are complete and accurate and available to authorised people. | N.c. Records | Example of recording for n.c. - child's profile sheet |

| 2.4 Create and maintain the necessary conditions for productive work activity | | |
|---|---|---|
| a) The work environment is as conducive to work activity as possible | School and classroom environment | Photographs of classrooms and school |
| b) A sufficient supply of resources is established and maintained to meet customer requirements | Physical resources need to run a school include paper, books, photocopier, ohp, computers | Details of physical resources, audit of resources |
| c) Access to, and use of, resources is regulated and monitored for maximum advantage and efficiency | Access to paper, art materials, photocopier monitoring | Details of regulatory procedures with regard to physical resources |
| d) Staff working conditions and use of resources satisfy current legislation and organisational guidelines | Laws relating to educational organisations | Knowledge of such laws as health and safety at work, use of dangerous substance |
| e) Maintenance frequency and use of equipment conform to recommended schedules and procedures | Maintenance arrangements for equipment | Sla for computer maintenance, sla for photocopier maintenance |
| f) Resources which do not meet requirements are replaced, repaired or adapted as soon as is practicable and with minimum disruption to work activity | Updating computers | Change from BBC's to personal computers. Letters from Welsh Office, school support officer for computers |
| g) Potential or actual breaches of legal and organisational health and safety requirements are investigated, corrected or reported to the appropriate authority promptly | Accidents occurring on school premises | Fire report records, accident book |
| h) Accidents and incidents are reported promptly to the appropriate people and recorded accurately and completely in the relevant documentation | | Accident records samples from accident book |
| i) Recommendations for | Evaluation of procedures | Description of evaluation |

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| improving conditions are passed on to the appropriate people with minimum delay | with regard to accidents | and changes |
| j) All necessary records are complete, accurate and legible and available to authorised people when required | Public records are kept up to date | Examples of records |

## II. MANAGE FINANCE

| ELEMENT | What This Means for Schools | Forms of Evidence |
|---|---|---|
| 3.1 Control costs and enhance value | Costs are controlled by head, staff - teaching and non-teaching and children | |
| a) The contribution each individual can make to the control of costs is communicated in the most effective way. | Monitoring of water and electricity records<br>Planning the expenditure of the curriculum | Weekly monitoring printouts<br>Details of planned curriculum expenditure |
| | Budgets explained to staff | Minutes of staff meetings |
| | Budget presented to governors | Minutes of governing body meetings |
| | Assemblies, posters, murals when children are reminded to save water, electricity etc. | Photographs of displays |
| | Costs are controlled by headteacher covering for staff absences | Explanation of supply cover |
| b) Recommendations for improving the efficiency of operations are passed on to the appropriate people with the minimum of delay. | | Monthly print out of spending |
| | | Minutes of staff meetings |
| | | Details of school assembly |
| c) Information on costs and resource utilisation is fully assessed, correctly interpreted and effective action is taken to reduce costs and enhance value. | Using energy conservation officer for advice | |
| | Inviting tenders for building/maintenance work | Letters to energy officer, letters to invite tenders |
| d) Prompt corrective action is taken in response to actual or potential significant deviations from plans. | Monitoring usage of photocopier, telephone | Monitoring records |
| | Water leaks are immediately reported to the Water authorities | Letters to Welsh Water |
| e) Additional information is requested, where necessary, | Additional information is sought from prospective | Letters requesting further information |

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| to improve decision making. | tenders | |
| 3.2 Monitor and control activities against budget | | |
| a) Expenditure is within agreed limits, does not compromise future spending requirements and conforms to the organisation's policy and procedures. | Explanation of budget and LMS arrangements | The budget |
| b) Requests for expenditure outside the manager's responsibility are referred promptly to the appropriate people. | Liaison with school support officer and LEA e.g. Major building works expenditure | Letters to SSO and LEA, details of major works undertaken |
| c) Where necessary, expenditure is phased in accordance with a planned time scale. | Outline the three year development plan with detailed first year plans | The three year budget for your school |
| d) Actual income and expenditure is checked against agreed budgets at regular, appropriate intervals. | Information obtained from the SSO, details of the SIMS soft ware package | Monthly printout from the SSO, details of the three monthly meeting with the SSO, SIMS software |
| e) Where a budget under or overspend is likely to occur, the appropriate people are informed with minimum delay. | Any overspend is reported to staff and governors | Minutes of staff meetings. Minutes of governing body meetings |
| f) Prompt, corrective action is taken where necessary in response to actual or potential significant deviations from budget. | Money is saved in a variety of ways - in order to reduce capitation head goes into the classroom, supplies are cut, money is raised by school fund-raising activities, reduction of in-service training | Capitation budget, arrangements for absence cover, supplies data, school fund budget, in-service budget |
| g) Any necessary authority for changes in allocation between budget heads is obtained in advance of requirement. | Virement of budget, details on how the budget is delegated | Examples of virement |
| h) Any modifications to agreed budgets during the | | School development plan |

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| accounting period are consistent with agreed guidelines and correctly authorised. | | |
| 4.1 Justify proposals for expenditure on projects | | |
| a) Estimates of costs and benefits are supported by valid, relevant information. | This could refer to capitation in general or specific budgets for special projects | Development plan for capitation, special projects e.g. School garden, extra security fencing, classroom refurbishment. |
| b) Realistic assessments of alternative courses of action are used in making the final recommendations. | Assessment of options | Invitation of bids for refurbishments |
| c) Appropriate members of staff are encouraged to contribute to the recommendations. | Involvement of staff, governors or parents in the decision making process | Staff meeting minutes, governing body minutes, record of parental involvement |
| d) Recommendations clearly indicate the net benefits over time likely to be achieved from the expenditure. | Success indicators are provided | Minutes of meetings |
| e) Recommendations take account of possible future variation in levels of activity | Variation may occur due to fall or rise in pupil numbers, variation in the usage of equipment at particular times of the term | 'cluster' purchase of equipment not in frequent use in any school e.g. Binding machine, R.E. artefacts, staff development organised on a cluster basis. |
| f) Where proposals contain information and suggestions from other people, the final details are checked with them for accuracy prior to submission. | Checking for accuracy | Role of secretary in checking records, example of proposals. |
| g) Presentation is clear, concise and in an appropriate form. | Clear and precise records and proposals | Records, proforma for budget, three month audit record, staff development budget. |
| h) Where challenges to the proposal are made, further explanation is given to promote acceptance. | Challenges may be made by staff, governors, parents and pupils. | Record of discussions in staff meetings, governors meetings etc. |

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| i) Estimates are compared with actual costs and benefits and used to improve future calculations. | Estimates and actual costs are usually the same in schools | Suppliers are made aware that estimates and actual costs are the same, examples of estimates and final bills. |
| 4.2 Negotiate and agree budgets | | |
| a) Information relating to budget setting is offered to appropriate people in time to be used. | Budget is calculated on the basis of pupil numbers; easier for junior heads to project numbers from infant intake, for primary heads this is more difficult as patchy record of three year olds in the area which is further complicated by parental choice of schools | Budget setting in two parts- capitation budget and school budget; information is provided for discussion in staff meetings and governing body meetings |
| b) Recommendations take account of possible future variation in levels of activity. | Variability due to rise or fall in pupil numbers. | Alternative recommendations given based on different scenarios of pupil numbers. Contingency plans are offered. |
| c) Presentation of proposals is clear, concise, in an appropriate form and emphasises the benefits to the organisation. | Clear proposals of budgets | Budget sheets |
| d) Underestimation of anticipated revenue and overestimation of costs is minimised. | These issues are discussed with the SSO | Letter from SSO |
| e) Budget negotiations are conducted in a manner likely to maintain good relationships and are within agreed time scales. | Budget negotiations with SSO | Records of meetings with SSO, letter from SSO. |
| f) Agreements reached balance the overall needs of the organisation with the demands of the manager's area of responsibility. | Negotiations with SSO | Letter from SSO |
| g) Where there is uncertainty or disagreement over the proposed budget, clarification is sought. | Uncertainty and disagreement from SSO, governors, teachers. | Minutes of meetings |

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| h) All valid, relevant information and alternative courses of action are evaluated prior to allocations being made. | Evaluation of budget in light of pupil numbers and alternative courses of action proposed. | Action might include details of pupil groupings, the need to split groups if numbers drop- communication to parents etc. |
| i) All relevant people are informed of budget decisions in a manner and at a time which is likely to ensure their co-operation and confidence. | Relevant people include, governors, teachers, parents | Minutes of meetings |

| MANAGE PEOPLE | | |
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| 5.1 Define future personnel requirements | | |
| a) The required competences and attributes of individuals and teams, and the inter-relationships between the two, are clearly identified. | Annually after the budget is estimated staff needs are considered. The individual's needs are compared with the school's needs by the head. | Personal report. |
| b) Organisational objectives and constraints which will affect staff levels are clearly identified | Constraints include staff / pupil ratio, budget constraints. | Statistical data for the year, pupil numbers, letter of witness testimony from SSO. |
| c) The views of appropriate members of staff are adequately taken into account. | Discussions with the staff on staff needs. | Minutes of staff meetings, witness testimony from staff. |
| d) Estimates of personnel needs are supported by appropriate calculations, where necessary. | Statistical records of pupil numbers in order to calculate personnel requirements. | Budget, witness testimony from SSO, minutes of meetings with governors. |
| e) Information used is current, valid and reliable. | Annual budget is used and there should be no overspend. | Budget for the year. |
| f) Information is presented on time, is accurate to the level required and contains the necessary amount of detail. | Planned action with underspend and overspend. | Budget at 9 months and an account of resulting action, minutes of governors meetings and staff meetings. |
| 5.2. Determine specifications to secure quality people | | |
| a) Specifications identify job title, responsibilities, key objectives, competences and other details specific to the organisation. | Job specifications. | An example of job specifications used for teaching and support staff. |
| b) Specifications accurately reflect the role which the individual appointed will play in relation to the team as a whole. | | Job advert, employee specification, head's personal account. |

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| c) The views and requirements of all relevant people are taken into account prior to completing the specification. | Discussions with staff, governors, SSO, primary advisor. | Governing body minutes, personal report. |
| d) Specifications are written and are clear, concise and comply with legal requirements. | Comply with laws - equal opps., Race relations, sex discrimination, etc. | Local Authorities equal opps. Policy and policy statements on selection. |
| e) Final specifications are checked and agreed with appropriate people prior to recruitment action. | Checked with SSO, and governors | Report from SSO and governors. |
| 5.3. Assess and select candidates against team and organisational requirements | | |
| a) The assessment and selection of candidates complies with the organisation's procedures and legal requirements. | Awareness of legal requirements, LEA procedures, guided by the SSO. | Guidelines on selection procedures from the LEA, short listing panel minutes, personal account. |
| b) Information obtained from each candidate is judged against specified selection criteria and any additional influencing factors noted. | Employee specifications and job advert. | Example of employee specification, advert and application forms. |
| c) Where there is difficulty in interpreting the selection criteria or there appears to be a conflict of criteria, advice is sought with minimum delay from the appropriate people. | This is generally not applicable but if there was conflict between the staff and head as to what was needed help may be sought from the advisors and ultimately the Director of Education. | Personal account . |
| d) Unintended deviations from agreed procedures are identified and corrected before selection decisions are made. | The head controls the selection process an sums up at the end of the interviews before a decision is made. | Head teachers report, personal account. |
| e) Selection recommendations are communicated only to authorised people. | Head gives recommendations to the governors. | Personal account. |

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| f) Records are complete, accurate and clear. | Personnel records are complete. | Personnel records, minutes of meeting supplied by the SSO. |
| g) All candidates are promptly and accurately informed of selection decisions following each stage of the selection process. | SSO informs the successful candidate by letter and orally. | Letters to the candidates, personal account from head in counselling the unsuccessful candidates. |
| h) Recommendations for improvements to any aspect of the selection process are communicated promptly to appropriate people. | Analysis of interview procedures are undertaken. | Minutes of meeting, personal account. |
| i) Selection choice is justifiable from the evidence gained and the process used. | Governors and head agree the selection and in some instances this is done by democratic voting. | Personal account. |
| 6.1. Develop and improve teams through planning and activities | Teams might include staff teams, or the governing body as a team. | |
| a) The strengths and weaknesses of the team, including the manager him/herself, are identified against current and anticipated work requirements. | Strengths and weaknesses of staff are identified through individual staff audits, appraisal, school based monitoring, Ofsted reports. | School development plan, staff audit, appraisal form, Ofsted report, monitoring forms. |
| b) All individuals within the team are encouraged and assisted to evaluate the team's overall development needs and to contribute to the discussion and planning of how these will be met. | | Minutes of staff meetings. |
| c) Any unproductive friction between team members is minimised. | Examples of friction minimised when staff are clear and agree with the aims of the school. Clear job descriptions. | Job descriptions, personal account. |
| d) Team building and development plans contain clear, relevant and realistic development objectives for the team as a whole. | Annual audit involving all staff. | School development plan. |

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| e) Development activities optimise the use of available resources. | Optimisation of resources through cluster based inset, school based inset, cascading. | Inset plans, minutes of cluster meetings, summary of inset activities undertaken through the cluster. |
| f) Plans are reviewed, updated and improved at regular intervals after discussion and agreement with the appropriate people. | Plans reviewed in staff meetings, with governors. | Minutes of staff meetings and governors meetings. Development plan. |
| 6.2. Identify, review and improve development activities for individuals | | |
| a)Development objectives and activities are based on a balanced assessment of current competence, potential future competence and career aspirations in line with current and anticipated team/organisational requirements. | | Staff development policy, appraisal targets, records from staff interviews. IIP questionnaire. |
| b) Individuals are encouraged and assisted to evaluate their own learning and development needs and to contribute to the discussion, planning and review of development. | Involving staff in objective setting for themselves. | Staff questionnaire to assess needs. |
| c) Plans contain clear, relevant and realistic development objectives and details of supporting development activities. | | |
| d) Development activities optimise the use of available resources | Plans are reviewed annually, also annual appraisal. | |
| e)Plans are reviewed, updated and improved at regular intervals after discussion and agreement with the appropriate people. | | Staff development plan, appraisal plans. Review document, appraisal form. |

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| 6.3 Develop oneself within the job role | | |
| a) Current competence and areas for development are identified against appropriate competence / development models. | Question if there is an appropriate development model. | Evidence is the management portfolio. |
| b) Objectives are achievable, realistic and challenging in terms of current and anticipated competence, and updated at regular intervals. | Objectives are multi owned and set by : MCI, Ofsted, headteachers seminars help in updating. | Examples of Ofsted objectives, record of headteachers seminars attended. |
| c) Where necessary, personal objectives include areas of development which are needed for effective team operation. | Identification of areas of development to improve staff effectiveness. | Head's appraisal. |
| d) Sufficient and realistic amounts of time and resources are allocated to achieve set objectives. | Time pressures are felt by a number of primary heads. | Personal account. |
| e) Progress and performance are reviewed with appropriate people at suitable intervals and results used to inform future development. | Headteacher appraisal, governors reports. | Appraisal forms, headteachers reports, governors reviews. |
| f) Responsibility is accepted for achieving own development objectives. | Examples of how the head takes responsibility for own development. | Inset file, personal account. |
| g) Feedback is compared with own perceptions of performance and used to improve future performance. | Feedback from staff, governors, parents, inspectors and advisors. | Report of feedback. |
| 6.4 Evaluate and improve the development processes used. | | |
| a) The applicability and usefulness of development processes are discussed and agreed with all the individuals/teams concerned. | Using IIP to evaluate and improve processes. Staff meetings. | Records of meetings. |

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| b) Where development processes have proved inappropriate and/or the resources used are unsuitable or inadequate, suitable alternatives are proposed, discussed and agreed. | Slas have had an adverse effect on staff development in small schools - unable to buy into the authority based training due to small budget. One solution has been the cluster based training. | Details of cluster based training. |
| c) Where development plans have proved to be unrealistic for whatever reason, appropriate modifications are made following discussion and agreement. | Development plans unrealistic sometimes due lack of supply cover, lack of finances. | Comparison between the development plans for this year and previous years. |
| d) Information on the strengths and weaknesses of development processes is offered to appropriate people on order to improve overall practice. | Feed back is given in appraisal, headteachers monitoring, staff development/school development reviewed annually. | Appraisal forms, school development plan. |
| e) Experience from past development is used to improve current practice. | Evaluations on inset used to inform next years inset providers. | Personal account, evaluation forms used. |
| 7.1 Set and update work objectives for teams and individuals. | | |
| a) Objectives are clear, accurate, and contain all relevant details including measures of performance. | Using job descriptions, appraisal objectives and the school development plan. | Sample of job descriptions in use, staff handbook |
| b)Achievement of the objectives is practicable within the set period given other work commitments. | Include the role of the curriculum co-ordinator in setting work. | Fortnightly plans and termly plans. |
| c) Objectives are explained in sufficient detail and in a manner, and at a level and pace appropriate to all the relevant individuals. | Staff discussions are frequent in small schools. | Minutes of staff meetings, induction for new staff, objectives for nqts. |
| d) Objectives are updated regularly with the relevant individuals to take into | Objectives are updated in light of changes either at a government or more local | Examples of when the objectives have been updated. |

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| account individual, team and organisational changes. | level. | |
| e) Individuals are encouraged to seek clarification of any areas of which they are unsure. | Encouragement to staff | Mentoring policy, witness testimony. |
| 7.2 Plan activities and determine work methods to achieve objectives. | | |
| a) The degree of direction required by individuals is accurately assessed and used to best effect in overall work planning. | Describe the ways in which the head differentiates in approach to individuals. | Personal statements. |
| b) Relevant views are sought in a way which encourages each individual to offer suggestions. | Openness of communications in small schools. | Staff meetings, inspectorial report. |
| c) Where possible, decisions on work methods include suggestions from those involved. | Schemes of work for teachers ensure consistency and continuity. | Examples of agreed schemes of work, minutes of staff meetings on work methods. |
| d) Work methods and activities are consistent with current management priorities, organisational objectives and legal requirements and include opportunities for individual development where possible. | Legal requirements include equal opportunities, there are the requirements of the National Curriculum. Other work methods include behaviour modification methods for consistency of dealing with children. Improving SATs results. | Behaviour modification programme, bullying policy, equal opportunities policy for staff and pupils, schemes of work. Methods of testing SATs. |
| e) Work methods and activities optimise the use of available material, capital and people. | Using cluster groups to capitalise on a small inset budget. Using parents and the community as help in the school. | Minutes of cluster meetings, PTA agendas, fund raising activities. |
| f) Where legal requirements and organisational /development objectives conflict, the problem is identified and advice is sought from the appropriate people. | There may be conflict of objectives e.g. Health and safety in old schools, there are also issues of staffing in pre-school nursery requirements, and more recently the new ruling on seat belts in coaches | Personal accounts of conflicts between legal requirements and the practical situation.. |

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| | is problematic for school trips and costings. | |
| g) Agreed work methods and activities are designed to ensure that organisational objectives are achieved. | Schemes of work, time tables, classroom organisation ensures objectives are met. | Examples of schemes of work, time tables. HMI reports, SATs results. |
| 7.3 Allocate work and evaluate teams, individuals and self against objectives. | | |
| a) Allocations optimise the use of resources and the existing competences of staff. | Assessment of teachers competences and strengths. | Teacher monitoring, appraisal systems. |
| b) Team and individual responsibilities and limits of authority are clearly defined and recorded where necessary. | Roles are clearly defined by the head and the curriculum co-ordinator. | Job descriptions, school plan for teams. |
| c) Where applicable, work activities allocated to individuals provide suitable learning opportunities for the objectives identified in their development plans. | The school development plan and where individuals fit in the staff development plan. | School development plan. |
| d) Sufficient information is provided in a manner, and at a level and pace appropriate to the individuals concerned and they are encouraged to seek clarification of their allocated activities. | Detailed information is given in the school development plan. | School development plan, staff audit of strengths and weaknesses. |
| e) Individuals have appropriate access to, and are supervised by, the people best able to satisfy their agreed work and development needs. | Examples of supervision includes student teachers, student nursery nurses on placement. | Mentoring policy for staff, induction plan, role of curriculum co-ordinator. Use of development such as D32. |
| f) Calculations are of a type and accuracy appropriate to the scale and importance of the work being allocated and evaluated. | Development plan covers time, resources and financial costs. | Development plan. |

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| g) Where allocations prove to be untenable or unrealistic or organisational demands change, adjustments minimise the impact on time and cost. | A good example for small schools is the issue of pupil numbers being critical for staff resource. | Minor and major targets in development plan. |
| h) Previous allocations are evaluated and used to improve current practice. | Review of previous plan. | Evaluation of plan. |
| 7.4 Provide feedback to teams and individuals on their performance. | | |
| a) Feedback is given in sufficient detail, and in a manner, and at a level and pace appropriate to the individual(s). | Headteachers appraisal and monitoring role. | Feedback following monitoring, appraisal feedback and informal feedback - personal report. |
| b) Feedback to people is given at an appropriate time and place. | Appropriate time and place. | Personal account, witness testimony. |
| c) Feedback provides constructive suggestions and encouragement for improving future performance against work and development objectives. | Fortnightly plans include an evaluation section. | Fortnightly plans, annual appraisal. |
| d) Feedback recognises performance and achievement and encourages individuals to contribute to their own assessment. | Positive feedback targets are set and staff are encouraged to reflect. | Appraisal self assessment is encouraged, staff audit sheets. |
| e) Details of any action to be taken are accurately recorded in line with organisational guidelines. | Accurate recording of actions. | Minutes of staff meetings, action plans, appraisal documents. |
| f) Individuals are encouraged and assisted to make suggestions on how systems/procedures could be improved. | Encouragement to staff for improvements. | Minutes of staff meetings, governing body meetings. |
| 8.1 Establish and maintain the trust and support of one's subordinates. | Subordinates include staff and pupils. | |

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| a) Time is taken with subordinates to establish and maintain honest and constructive relationships. | In small schools staff have frequent contact with the head. Also directed time and appraisals. | Personal account, witness testimony, examples of activities undertaken in directed time. |
| b) Subordinates are encouraged to offer ideas and views and due recognition of these is given. | Ethos of the school. Collaborative model prevalent in small schools and staff work together and encouraged to Offer ideas. | Minutes of staff meetings, examples where ideas from staff have been actioned. |
| c) Where ideas are not taken up, the reasons are clearly given. | Many ideas are not taken up due to lack of finance. | Staff meetings, personal account. |
| d) Subordinates are consulted about proposed activities within an appropriate timescale and encouraged to seek clarification of areas which they are unsure. | All staff prepare plans on a fortnightly and termly basis. | Examples of fortnight and term plans. |
| e) Subordinates are sufficiently informed about organisational policy and strategy, progress, emerging threats and opportunities. | There are many policy documents and planning documents in schools. | Examples of the policy and planning documents given to all staff. |
| f) Promises and undertakings to subordinates are realistic and are honoured. | Realistic time scales are negotiated. | Examples of tasks with accompanying time scales. |
| g) Subordinates are given appropriate support in any situations which involve people outside the manager's team. | Support includes mentoring and other informal support mechanisms. | Examples of mentoring systems. |
| h) Where there is concern over the quality of a subordinate's work, the matter is directly raised and discussed with him/her. | In small schools there is s greater potential for spotting weaknesses earlier than in larger schools. | Examples of staff development to improve quality. |
| 8.2 Establish the trust and support of one's immediate manager | The immediate manager could be the governing body or the director of education or both. | |

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| a) The immediate manager is kept informed in an appropriate level about activities, progress, results and achievements. | The immediate manager may be the chair of the governing body and/or the Director of Education. Both need to be kept informed but the chair of the governors needs to know more of the day to day business | Minutes of meetings with the governing body and accounts of one to one meetings with the chair of governors. Witness testimony from chair of governors. Minutes of meetings and correspondence from Director. |
| b) Information about emerging threats and opportunities is provided clearly and accurately with an appropriate degree of urgency. | Threats and opportunities are provided clearly and accurately. | Examples of correspondence, minutes of meetings. |
| c) Information and advice about policy and ways of working is sought from the immediate manager at an appropriate time. | Schools are expected to produce policies on all key areas. Advice also sought on education policy from the SSO. | Policies need to be agreed by the governing body, and recorded in minutes of meetings; advice may be sought from LEA - witness testimony from advisors. |
| d) Proposals for action are clearly presented at an appropriate time and with the right level of detail for the degree of change, expenditure and risk involved. | Presentation of all policy documents, school brochure, school development plan and other relevant documentation to governors for approval. | Examples of the documents. |
| e) Where proposals are rejected the reasons are, wherever possible, identified and, if appropriate, alternative proposals are put forward. | Few examples of rejection but alternatives put forward. | Examples of rejected proposals and alternative action. |
| f) Where there are disagreements, efforts are made to avoid damaging the relationship with the immediate manager. | Good working relationship is very important with governors and disagreements managed effectively. | Letter of support from governors. |
| 8.3 Establish and maintain relationships with colleagues. | | |
| a) Time is taken to establish honest and constructive relationships with colleagues. | Meetings with teachers and other headteachers. | Minutes from cluster group meetings, termly headteacher meetings and other staff development meetings. |

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| b) Open, honest and friendly behaviour is encouraged. | Most primary schools operate a collaborative model which encourages open and honest behaviour. | Minutes of staff meetings, witness testimony. |
| c) Opinions and information are exchanged and shared with colleagues. | Cluster groups used in information exchange. | Examples of shared resources, shared development activities. |
| d) Advice and help are offered with sensitivity. | Advice from fellow professionals. | Examples of the support and advice gained from meeting other heads in the cluster. |
| e) Differences of opinion are dealt with in ways which try to avoid offence, and conflicts are resolved in ways that maintain respect. | Importance of good professional working relationships. | Personal statement, witness testimony. |
| f) Promises and undertakings to others are honoured, taking account of other priorities and commitments. | Importance of prioritising sensitively. | Examples from in-service arrangements. |
| 8.4 Identify and minimise interpersonal conflict | | |
| a) Staff are informed of expected standards of work and behaviour in a manner, and at a level and pace appropriate to the individual. | Standards expressed in job descriptions and policy documents. | Examples of job descriptions and policies. |
| b) Opportunities for staff to discuss problems which directly or indirectly affect their work are regularly provided. | In a small school the head has opportunity for frequent meetings with the staff informally as well as formally. | Witness testimony from staff. |
| c) Potential and actual conflicts between staff are identified promptly and actions are taken to deal with them as soon as possible. | Prompt action in resolving conflict is particularly important in primary schools. | Examples of prompt conflict resolution - personal account. |
| d) Solutions satisfy legal and organisational requirements. | Legal requirements are met with advice from the LEA personnel unit. | Examples of correspondence with the personnel unit. |
| e) Where records of the conflict and outcome are kept, they are accurate, complete and comply with organisational requirements. | Importance of accurate records in conflict situations. | Examples of personnel records. |

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| c) Opinions and information are exchanged and shared with colleagues. | Cluster groups used in information exchange. | Examples of shared resources, shared development activities. |
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| e) Differences of opinion are dealt with in ways which try to avoid offence, and conflicts are resolved in ways that maintain respect. | Importance of good professional working relationships. | Personal statement, witness testimony. |
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| d) Solutions satisfy legal and organisational requirements. | Legal requirements are met with advice from the LEA personnel unit. | Examples of correspondence with the personnel unit. |
| e) Where records of the conflict and outcome are kept, they are accurate, complete and comply with organisational requirements. | Importance of accurate records in conflict situations. | Examples of personnel records. |

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| 8.5 Implement disciplinary and grievance procedures | | |
| a) Staff are kept appropriately informed of the current procedures. | All staff have copies of the disciplinary and grievance procedures. | Example of LEA document on disciplinary procedures. |
| b) Actions meet organisational and legal requirements and procedures and are implemented in a manner which demonstrates impartiality. | All the rules and regulations are followed. | Witness testimony, examples of disciplinary procedures which have been operationalised. |
| c) Disciplinary and grievance procedures are actioned with minimum delay. | As above | Examples of disciplinary procedures time scales. |
| d) Recorded details of the proceedings and outcomes are accurate, complete and accessible to authorised people. | As above | Records from disciplinary proceedings. |
| e) Where statutory and organisational requirements conflict, full details are reported and advice sought from the appropriate people. | As above | As above |
| f) Any recommendations for improvement of disciplinary and grievance procedures are passed to the appropriate people. | As above | As above |
| 8.6 Counsel staff | Headteachers also counsel children and parents. | |
| a) Counselling takes place at a time appropriate to the type, seriousness and complexity of the problem. | Counselling takes up a large part of the job. | Examples of counselling sessions. |
| b) Counselling practices and processes conform to any relevant personnel policies of the organisation. | Personnel policies adhered to. | Personnel policies on counselling. |
| c) In cases where the manager's personal skills and knowledge are insufficient, an appropriate counselling service is | Cases where the head is unable to offer the right kind and amount of support are referred to the appropriate agencies. | Examples of referrals include pupil referrals to the school psychological service, for staff depression to the health agency etc. |

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| recommended to the individual. | | |
| d) Individual cases are sufficiently monitored to make sure that a positive outcome is reached. | Monitoring procedures | Examples of how cases are monitored. |

| MANAGE INFORMATION | | |
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| 9.1 Obtain and evaluate information to aid decision making | Typical information required includes resources purchasing of equipment, human resources linked to pupil numbers, schemes of work. | |
| a) Information requirements are identified accurately and re-evaluated at suitable intervals. | This could be any issue identified in the school development plan e.g. Information on I.T. provision | Development plan, review plan. |
| b) Information is sought on all relevant factors affecting current or potential operations. | Information sought from personnel, finance, suppliers. | Copies of orders, letters to departments in LEA seeking information. |
| c) Information is relevant and is collected in time to be used. | Using the IT example it is essential that this information is relevant and not out dated. | Witness testimony from curriculum co-ordinators, IT advisor. |
| d) A variety of sources of information are regularly reviewed for usefulness, reliability and cost. | Reviews of inset provision, review of materials used to support the national curriculum. Review of service level agreements. | Evaluation forms used to evaluate inset provision |
| e) Opportunities are taken to establish and maintain contacts with those who may provide useful information. | Service level agreements are evaluated and contacts are maintained when information/service is good. Membership of ESIS which offer 19 courses as part of the service, cluster group membership. | Examples of ESIS provision, programme of cluster group, EBP, IIP, school level agreements. |
| f) Methods of obtaining information are periodically evaluated and improved where necessary. | Inset evaluations are fed back to the advisors and suggestions are made for improvements. | Letters to advisors, personal account. |
| g) When normal information routes are blocked, alternative methods are tried. | Projected pupil numbers used to be provided by the health service, this is no longer available so schools have to seek information on numbers of 3 year old children in the area from alternative sources. | Posters in the community advertising the school nursery, establishment of 'toddler groups' to try to establish the possible intake of children. |

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| h) Information is organised into a suitable form to aid decision making. | Organised development through development planning, staff development policy. | School development plan, examples of policy documents. |
| i) Conclusions drawn from relevant information are based on reasoned argument and appropriate evidence. | HMI reports , training needs analysis etc. | HMI report, minutes of staff meetings or personal account, staff audit sheet. |
| 9.2 Forecast trends and developments which affect objectives. | Critical information is pupil numbers which impact on the budget. Government intervention on curriculum and cuts to education need to be forecasted. | |
| a) Forecasts are based on the best information available within given constraints of cost and time. | Pupil numbers obtained by parents response to posters, school writing to homes in the area. | Posters, letters to parents, admission book. |
| b) Assessments of future trends and developments are made at an appropriate time, on a regular basis, or prior to planning. | Pupil numbers are projected one year in advance. | Biannual STATS form, admission book. |
| c) The assumptions made and degree of certainty are clearly stated. | Forecasts of numbers affected by parental choice, transient population. | Personal account, STATS form. |
| d) The impact of the relevant trends on the operations of the department are clearly illustrated. | Trends on pupil numbers impact on the budget and subsequently staff numbers. | Example of budget with changes due to reduced numbers. |
| e) The forecast provides suitable quantitative information for taking decisions on resource allocation. | Pupil numbers determine budget and human resource decisions are based on this. | Budget and a personal account of the sorts of human resource decisions that you would need to take based on a reduced budget. |
| 9.3 Record and store information. | The impact of IT on record keeping and storage of information in schools is important. The school secretary's role. | |
| a)Information is recorded accurately and in sufficient detail for its significance and use. | | Witness testimony from school secretary. |

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| b) Information is recorded and stored using accepted formats, systems and procedures. | | Print out from computer on pupil registration, copy of orders. |
| c) Information can be retrieved promptly when required. | Computerised records ensure prompt retrieval of information. | Computer print outs. Description of filing system. |
| d) The methods used to record and store information are periodically re-evaluated for effectiveness and efficiency. | IT has required schools to evaluate methods of storage of information. As computers are up-dated so the efficiency and effectiveness of the methods up-dated. | Personal account of up-dating the use of computers in record keeping. |
| e) New methods of recording and storing information are suggested/introduced as needed. | Example of the introduction of SIMS. | SIMS printout. |
| f) Any substantial breakdown in the methods of recording and storing information are analysed for cause and effect, and corrective action is taken. | Technological problems. | Auditors report. |
| 10.1 Lead meetings and group discussions to solve problems and make decisions. | Heads lead many different types of meetings including- parents, staff, PTA meetings. | |
| a) A suitable number of people appropriate to the context and purpose of the meeting are invited and attend. | Using parents meetings as an example there are a number of different meetings with parents- annual meetings, parents of particular year group. | Letters to parents, personal report. |
| b) The purpose of the meeting is clearly established with other group members at the outset. | | Letters, agenda of meetings |
| c) Information and summaries are presented clearly and at an appropriate time. | | Witness testimony, minutes of meetings. |
| d) Positive contributions and useful information which helps decision making are encouraged from all members of the group. | | Personal account, minutes of meetings, appraisal account. |

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| e) Unhelpful arguments and digressions are effectively discouraged. | | Personal account, witness testimony. |
| f) Discussion time is allocated to topics according to their importance, urgency and complexity. | | Minutes of meetings. |
| g) The leadership style is appropriate for the purpose and membership of the group. | Heads need to adapt their leadership style to match the audience- change the language used. | Personal account, witness testimony identifying changes in style with parents, staff etc. |
| h) Any decisions taken fall within the group's authority. | The limits of authority in education are established. | Minutes of meetings detailing the authority of the group . |
| i) Decisions are recorded accurately and passed as necessary to the appropriate people. | | Minutes of meetings. |
| 10.2 Contributions to discussions to solve problems and make decisions. | Heads contribute to governing body meetings, special needs panels, multi-disciplinary case conferences, cluster meetings. | |
| a) Preparation is sufficient to make a useful contribution to the discussion. | Papers are distributed well in advance of meetings. | Agenda and documents for meetings. |
| b) The manager's contributions are presented clearly, accurately and at an appropriate time. | IN governors meetings the head produces a report. | Head teacher's report. |
| c) The manager's contributions are directed at clarifying problems and identifying and assessing solutions. | | Minutes of governing body meetings highlighting heads contribution. |
| d) Contributions from, and viewpoints of, others are acknowledged and discussed constructively. | | Minutes of governing body meetings. |
| Any appropriate departmental/team views are represented effectively. | | Minutes of governing body meetings, witness testimony. |

| 10.3 Advise and inform others. | | |
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| a) Opportunities to offer and disseminate information and advice are recognised and taken. | Many examples of advising and informing others- cluster meetings, parents meetings, training days. | Minutes of meetings. |
| b) Information given is current, relevant and accurate. | | Personal report, reports from meetings. |
| c) Information is presented in a manner, and at a level and pace appropriate to the receiver. | Information about the school. | School prospectus written in a language suitable for the parents. |
| d) Presentation is suited to the context and the purpose of the receiver. | Samples of communications to different audiences. | Samples of information from the head to different receivers. |
| e) Advice is consistent with organisational policy and cost and resource constraints. | Time and money constraints are taken into account. | |
| f) Advice is supported, as appropriate, by reasoned argument and evidence. | | Personal account, witness testimony. |

# *Appendix Four*

TRAINING AND DEVELOPMENT FOR PRIMARY HEADS

*Managing Finance*

There is no doubt that prior to LMS providing evidence for the key role of managing finance would have been difficult as the LEA controlled the financial aspects of the schools. The primary head in 1996/7 has no such difficulties. The major problem facing the head in the key role of managing finance was the uncertainty of the budget, as this was based almost entirely on pupil numbers. In small schools the sudden departure of a family with three children of primary age could result in the school losing a teacher as the budget is based on a very tight formula of pupil numbers. Despite this level of uncertainty which affected the longer term planning process, there were key skills that a head needs in managing the finances of the school. These include :

- Knowing how to interpret the budget, including the capitation budget, the school fund budget and the in-service training budget.
- Cost control - putting in place a monitoring of costs, for example costs for water, electricity, telephone and photocopying. There is also the need to consider costings for staff absence and the effective use of supply cover.
- Awareness of appropriate and available computer financial packages for example the SIMS computer package and being able to interpret the data provided.
- Having the knowledge and ability to undertake virement of budgets.
- Preparing the three year budget forecasts.
- Understanding the roles of the governing body, the SSO and the LEA in the management of finances.
- Negotiating and effective use of tendering procedures.
- Setting up accurate financial record keeping systems.
- Prepare a three month audit.
- Fund raising to supplement the budget.

- Awareness of unpredictable factors in the external environment that impinge on the school's budget e.g. the demand from parents that extra security fencing be purchased as a result of the Dunblane tragedy.

*Managing People*

Managing People plays an important part of most managers' work and this was also the case for heads as they manage a range of people including teachers, parents, children, governors, support staff and in particular the school secretary, support agencies and the LEA. The people skills required include, negotiating, team working, recruitment and selection, appraising, interview skills, chairing meetings, influencing, motivating, counselling, leading and problem solving. The heads would have explored in the initial teacher training programme aspects of educational psychology and child psychology; they would not have been exposed to occupational psychology or human resource management, which would have included much of the skills noted above. Also in the interviews a number of the heads discussed their lack of training in dealing with adults as all of their formal training to date had been centred on children.

The key role of managing people was the easiest for the heads to relate to; since LMS they were all experienced in the processes of recruitment and selection. Since the introduction of the National Curriculum (NC) they had been very involved with the development of their staff and themselves in the new curriculum. They were all used to the planning process and were obliged to produce school development plans which contained in part human resource planning. The importance of the team is highlighted in small schools and the heads all meet frequently with their staff. The NC also encourages a more collaborative approach between staff and the head played a major part in maintaining effective team working. In addition it was easier for the heads to detect staff problems and to monitor staff by 'managing by wandering around'. Heads need to know how to :

Recruit staff including the writing of job advertisements, job descriptions and employee specifications.

Select staff - interviewing skills, working with the governors as part of group selection, considering the appropriate methods of selection for teaching and non-teaching staff.

Awareness of the employment law e.g. equal opportunities, race relations.

Human resource planning, defining future personnel requirements within budget.

Developing teams

Building trust and support.

Chairing meetings e.g. staff meetings, parents meetings.

Preparing a staff development plan / inset plans.

Appraisal interviews and the appraisal process.

Disciplinary and grievance procedures.

Counselling skills

Conflict resolution

Providing feedback to staff, governors, parents etc.

Provide clear aims for staff and the school.

Update objectives.

Manage self development

Manage time

*Managing Information*

Information was provide by the head to a range of stakeholders, parents, teachers, children, governors, LEA etc. in a variety of ways. The head needs to know how to:

Write a school development plan

Undertake staff audits

Prepare newsletters to parents.

Forecast trends, especially with regard to pupil numbers.

Chair and be a member of meetings with staff, governing body, parents, cluster groups, INSET groups, support agencies.

Contribute effectively on other committees to further the image of the school..

Know about and assess the impact of technology on whole school policies and the management of information in the school.

Record information accurately and effectively.

Prepare Head teacher's report for governors.

Prepare Headteacher's reports to external agencies e.g. social services.

Provide clear aims for the school

Update objectives

Keep log book up to date.

*Managing Operations*

Seek information on appropriate teaching materials.

Put forward new initiatives to a variety of groups.

Organise inset programmes.

Prepare a school audit of inset needs.

Monitor staff.

Design and implement staff evaluation forms.

Overcome resistance to change.

Undertake school development planning.

Prepare policy statements.

Organise transition to secondary schools.

Organise SATS and analyse results.

Manage changes to schemes of work.

Update IT provision.

Change the format of the school day

Negotiate changes with a variety of stakeholders.

Evaluate of change.

Manage changes in personnel.

Rotate staff to teach different age groups.

Ensure parents (customers) are informed of changes through newsletters, school brochures, minutes of meetings etc.

Manage the implementation of the NC.

Oversee teachers' plans to deliver the NC.

Allocate resources to support the NC.

Keep accurate records for NC results, children's profile sheets.

Provide feedback mechanisms for staff, parents and governors.

Audit resources.

Ensure there are sufficient physical resources such as books, paper, art materials, computers etc.

Set up maintenance arrangements for equipment.

Update equipment and in particular IT equipment.

Ensure that report mechanisms are in place for reporting of accidents.

Improve the school environment.

Improve the classroom environment.

*Personal skills*

Being organised which links with office systems, planning and time management skills.

Being motivated: this was seen as essential as motivation and enthusiasm are important features of the head which impacts on staff morale.

Humour was also highlighted as important to help relieve the stresses of the work.

*Education sector specific*

Vision and values of education

Whole school training

Training and development of the deputy head

Governing body training

Curriculum management

*School specific* ( examples given are for schools serving a deprived socio economic area)

Counselling both children and their parents

Disturbance handling

Supporting the families by arranging life skills training

Working in multi disciplinary groups (especially with social workers and the police).

*Leadership*

In addition to the management skills it is necessary that leadership is addressed and most importantly that heads provide for their schools, with the involvement of their staff, a vision which is stated clearly and internalised by all. This is less easy to articulate and cannot be represented by a check list but it very important that vision, values and the head's individual philosophy of education are developed and critically reflected on regularly by groups of heads. There is a need for strategic management and strategic planning.